

ISO 20022

Market Claims Maintenance 2020 - 2021

Message Definition Report Part 2

Approved by the Securities SEG on the 25th of January 2021

This document provides details of the Message Definitions for Market Claims Maintenance 2020 - 2021.

February 2021

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1 Message Set Overview

1.1 List of MessageDefinitions

The following table lists all MessageDefinitions described in this book.

MessageDefinition	Definition
head.001.001.02 BusinessApplicationHeaderV02	<p>The Business Layer deals with Business Messages. The behaviour of the Business Messages is fully described by the Business Transaction and the structure of the Business Messages is fully described by the Message Definitions and related Message Rules, Rules and Market Practices. All of which are registered in the ISO 20022 Repository.</p> <p>A single new Business Message (with its accompanying business application header) is created - by the sending MessagingEndpoint - for each business event; that is each interaction in a Business Transaction. A Business Message adheres to the following principles:</p> <p>" A Business Message (and its business application header) must not contain information about the Message Transport System or the mechanics or mechanism of message sending, transportation, or receipt.</p> <p>" A Business Message must be comprehensible outside of the context of the Transport Message. That is the Business Message must not require knowledge of the Transport Message to be understood.</p> <p>" A Business Message may contain headers, footers, and envelopes that are meaningful for the business. When present, they are treated as any other message content, which means that they are considered part of the Message Definition of the Business Message and as such will be part of the ISO 20022 Repository.</p> <p>" A Business Message refers to Business Actors by their Name. Each instance of a Business Actor has one Name. The Business Actor must not be referred to in the Transport Layer.</p> <p>Specific usage of this BusinessMessageHeader may be defined by the relevant SEG.</p>
seev.050.001.01 MarketClaimCreationV01	<p>Scope and Usage</p> <p>The MarketClaimCreation message is sent by an account servicer to an account holder to advise of the creation of a market claim transaction on a securities account, for example by a CSD that has automatically generated market claims on a mandatory distribution type of corporate action event. The MarketClaimCreation message may also be sent by an account holder to its account holder, to instruct settlement of a bilaterally agreed (as opposed to centrally generated) market claim for a corporate action event.</p>

MessageDefinition	Definition
	This message definition is intended for use with the Business Application Header (BAH).
seev.051.001.01 MarketClaimCancellationRequestV01	<p>Scope and Usage</p> <p>The MarketClaimCancellationRequest message is sent by the account holder to the account servicer.</p> <p>It is sent to request the cancellation of a market claim transaction.</p> <p>This message definition is intended for use with the Business Application Header (BAH).</p>
seev.052.001.01 MarketClaimStatusAdviceV01	<p>Scope and Usage</p> <p>The MarketClaimStatusAdvice message is sent by an account servicer to an account holder to provide the status of a market claim transaction.</p> <p>This message definition is intended for use with the Business Application Header (BAH).</p>
seev.053.001.01 MarketClaimCancellationRequestStatusAdviceV01	<p>Scope and Usage</p> <p>The MarketClaimCancellationRequestStatusAdvice message is sent by an account servicer to an account holder to provide the status of a market claim transaction cancellation request.</p> <p>This message definition is intended for use with the Business Application Header (BAH).</p>

2 **head.001.001.02 BusinessApplicationHeaderV02**

2.1 **MessageDefinition Functionality**

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

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

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

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

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

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

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

Outline

The BusinessApplicationHeaderV02 MessageDefinition is composed of 14 MessageBuildingBlocks:

A. CharSet

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

B. From

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

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

C. To

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

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

D. BusinessMessageIdentifier

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

E. MessageDefinitionIdentifier

Contains the MessageIdentifier that defines the BusinessMessage.

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

example camt.001.001.03.

F. BusinessService

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

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

Example: E&I.

G. MarketPractice

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

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

H. CreationDate

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

I. BusinessProcessingDate

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

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

J. CopyDuplicate

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

K. PossibleDuplicate

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

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

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

This will guarantee business idempotent behaviour.

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

L. Priority

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

M. Signature

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

N. Related

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

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

2.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AppHdr>	[1..1]		C5	
	CharacterSet <CharSet>	[0..1]	CodeSet	C6	10
	From <Fr>	[1..1]			10
{Or	OrganisationIdentification <OrgId>	[1..1]	±		10
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		11
	To <To>	[1..1]			11
{Or	OrganisationIdentification <OrgId>	[1..1]	±		11
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		11
	BusinessMessageIdentifier <BizMsgIdr>	[1..1]	Text		12
	MessageDefinitionIdentifier <MsgDefIdr>	[1..1]	Text		12
	BusinessService <BizSvc>	[0..1]	Text		12
	MarketPractice <MktPrctc>	[0..1]			12
	Registry <Regy>	[1..1]	Text		13
	Identification <Id>	[1..1]	Text		13
	CreationDate <CreDt>	[1..1]	DateTime		13
	BusinessProcessingDate <BizPrctgDt>	[0..1]	DateTime		13
	CopyDuplicate <CpyDplct>	[0..1]	CodeSet		13
	PossibleDuplicate <PssblDplct>	[0..1]	Indicator		14
	Priority <Prty>	[0..1]	CodeSet	C7	14
	Signature <Sgntr>	[0..1]	(External Schema)		15
	Related <Rltd>	[0..*]			15
	CharacterSet <CharSet>	[0..1]	CodeSet	C6	16
	From <Fr>	[1..1]			16
{Or	OrganisationIdentification <OrgId>	[1..1]	±		16
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		16
	To <To>	[1..1]			17
{Or	OrganisationIdentification <OrgId>	[1..1]	±		17
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		17
	BusinessMessageIdentifier <BizMsgIdr>	[1..1]	Text		18
	MessageDefinitionIdentifier <MsgDefIdr>	[1..1]	Text		18

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	BusinessService <BizSvc>	[0..1]	Text		18
	CreationDate <CreDt>	[1..1]	DateTime		18
	CopyDuplicate <CpyDplct>	[0..1]	CodeSet		18
	PossibleDuplicate <PssblDplct>	[0..1]	Indicator		19
	Priority <Prty>	[0..1]	CodeSet	C7	19
	Signature <Sgntr>	[0..1]	(External Schema)		20

2.3 Constraints

C1 AnyBIC

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

C2 BICFI

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

C3 Country

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

C4 OnlySignatureElement

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

C5 RelatedPresentWhenCopyDupl

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

If CopyDuplicate is present, then Related MUST be present.

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

This constraint is defined at the MessageDefinition level.

C6 ValidationByTable

C7 ValidationByTable

2.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

2.4.1 CharacterSet <CharSet>

Presence: [0..1]

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

Impacted by: C6 "ValidationByTable"

Datatype: "UnicodeChartsCode" on page 187

Constraints

- **ValidationByTable**

2.4.2 From <Fr>

Presence: [1..1]

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

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		10
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		11

2.4.2.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Identification of a person or an organisation.

OrganisationIdentification <OrgId> contains the following elements (see "PartyIdentification135" on page 135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		135
	PostalAddress <PstlAdr>	[0..1]	±		135
	Identification <Id>	[0..1]	±		136
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	136
	ContactDetails <CtctDtls>	[0..1]	±		137

2.4.2.2 FinancialInstitutionIdentification <FIld>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIld> contains the following elements (see "[BranchAndFinancialInstitutionIdentification6](#)" on page 110 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		110
	BranchIdentification <BrnchId>	[0..1]	±		111

2.4.3 To <To>

Presence: [1..1]

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

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

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

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

2.4.3.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Identification of a person or an organisation.

OrganisationIdentification <OrgId> contains the following elements (see "[PartyIdentification135](#)" on page 135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		135
	PostalAddress <PstlAdr>	[0..1]	±		135
	Identification <Id>	[0..1]	±		136
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	136
	ContactDetails <CtctDtls>	[0..1]	±		137

2.4.3.2 FinancialInstitutionIdentification <FIld>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIId> contains the following elements (see "BranchAndFinancialInstitutionIdentification6" on page 110 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		110
	BranchIdentification <BrnchId>	[0..1]	±		111

2.4.4 BusinessMessageIdentifier <BizMsgIdr>

Presence: [1..1]

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

Datatype: "Max35Text" on page 193

2.4.5 MessageDefinitionIdentifier <MsgDefIdr>

Presence: [1..1]

Definition: Contains the MessageIdentifier that defines the BusinessMessage.

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

example camt.001.001.03.

Datatype: "Max35Text" on page 193

2.4.6 BusinessService <BizSvc>

Presence: [0..1]

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

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

Example: E&I.

Datatype: "Max35Text" on page 193

2.4.7 MarketPractice <MktPrctc>

Presence: [0..1]

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

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Registry <Regy>	[1..1]	Text		13
	Identification <Id>	[1..1]	Text		13

2.4.7.1 Registry <Regy>

Presence: [1..1]

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

For example, "MyStandards".

Datatype: "Max350Text" on page 193

2.4.7.2 Identification <Id>

Presence: [1..1]

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

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

Datatype: "Max2048Text" on page 192

2.4.8 CreationDate <CreDt>

Presence: [1..1]

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

Datatype: "ISODateTime" on page 188

2.4.9 BusinessProcessingDate <BizPrcgDt>

Presence: [0..1]

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

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

Datatype: "ISODateTime" on page 188

2.4.10 CopyDuplicate <CpyDplct>

Presence: [0..1]

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

Datatype: "CopyDuplicate1Code" on page 173

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

2.4.11 PossibleDuplicate <PssbIDp1ct>

Presence: [0..1]

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

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

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

This will guarantee business idempotent behaviour.

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

Datatype: One of the following values must be used (see ["YesNoIndicator" on page 191](#)):

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

2.4.12 Priority <Prty>

Presence: [0..1]

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

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

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

Constraints

- **ValidationByTable**

2.4.13 Signature <Sgntr>

Presence: [0..1]

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

Type: (External Schema)

The W3C XML Schema that specifies following standard signature:

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

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

2.4.14 Related <Rltd>

Presence: [0..*]

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

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CharacterSet <CharSet>	[0..1]	CodeSet	C6	16
	From <Fr>	[1..1]			16
{Or	OrganisationIdentification <OrgId>	[1..1]	±		16
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		16
	To <To>	[1..1]			17
{Or	OrganisationIdentification <OrgId>	[1..1]	±		17
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		17
	BusinessMessageIdentifier <BizMsgIdr>	[1..1]	Text		18
	MessageDefinitionIdentifier <MsgDefIdr>	[1..1]	Text		18
	BusinessService <BizSvc>	[0..1]	Text		18
	CreationDate <CreDt>	[1..1]	DateTime		18
	CopyDuplicate <CpyDplct>	[0..1]	CodeSet		18
	PossibleDuplicate <PssblDplct>	[0..1]	Indicator		19
	Priority <Prty>	[0..1]	CodeSet	C7	19
	Signature <Sgntr>	[0..1]	(External Schema)		20

2.4.14.1 CharacterSet <CharSet>

Presence: [0..1]

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

Impacted by: C6 "ValidationByTable"

Datatype: "UnicodeChartsCode" on page 187

Constraints

- **ValidationByTable**

2.4.14.2 From <Fr>

Presence: [1..1]

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

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		16
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		16

2.4.14.2.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Identification of a person or an organisation.

OrganisationIdentification <OrgId> contains the following elements (see "PartyIdentification135" on page 135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		135
	PostalAddress <PstlAdr>	[0..1]	±		135
	Identification <Id>	[0..1]	±		136
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	136
	ContactDetails <CtctDtls>	[0..1]	±		137

2.4.14.2.2 FinancialInstitutionIdentification <FIId>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIld> contains the following elements (see "[BranchAndFinancialInstitutionIdentification6](#)" on page 110 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		110
	BranchIdentification <BrnchId>	[0..1]	±		111

2.4.14.3 To <To>

Presence: [1..1]

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

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

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

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

2.4.14.3.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Identification of a person or an organisation.

OrganisationIdentification <OrgId> contains the following elements (see "[PartyIdentification135](#)" on page 135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		135
	PostalAddress <PstlAdr>	[0..1]	±		135
	Identification <Id>	[0..1]	±		136
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	136
	ContactDetails <CtctDtls>	[0..1]	±		137

2.4.14.3.2 FinancialInstitutionIdentification <FIld>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIId> contains the following elements (see "BranchAndFinancialInstitutionIdentification6" on page 110 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		110
	BranchIdentification <BrnchId>	[0..1]	±		111

2.4.14.4 BusinessMessageIdentifier <BizMsgIdr>

Presence: [1..1]

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

Datatype: "Max35Text" on page 193

2.4.14.5 MessageDefinitionIdentifier <MsgDefIdr>

Presence: [1..1]

Definition: Contains the MessageIdentifier that defines the BusinessMessage.

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

example camt.001.001.03.

Datatype: "Max35Text" on page 193

2.4.14.6 BusinessService <BizSvc>

Presence: [0..1]

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

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

Example: E&I.

Datatype: "Max35Text" on page 193

2.4.14.7 CreationDate <CreDt>

Presence: [1..1]

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

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

Datatype: "ISODatetime" on page 188

2.4.14.8 CopyDuplicate <CpyDplct>

Presence: [0..1]

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

Datatype: "CopyDuplicate1Code" on page 173

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

2.4.14.9 PossibleDuplicate <PssbIDp1ct>

Presence: [0..1]

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

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

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

This will guarantee business idempotent behaviour.

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

Datatype: One of the following values must be used (see "YesNoIndicator" on page 191):

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

2.4.14.10 Priority <Prty>

Presence: [0..1]

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

Impacted by: C7 "ValidationByTable"

Datatype: "BusinessMessagePriorityCode" on page 172

Constraints

- **ValidationByTable**

2.4.14.11 Signature <Sgntr>

Presence: [0..1]

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

Type: (External Schema)

The W3C XML Schema that specifies following standard signature:

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

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

3 **seev.050.001.01** **MarketClaimCreationV01**

3.1 **MessageDefinition Functionality**

Scope and Usage

The MarketClaimCreation message is sent by an account servicer to an account holder to advise of the creation of a market claim transaction on a securities account, for example by a CSD that has automatically generated market claims on a mandatory distribution type of corporate action event. The MarketClaimCreation message may also be sent by an account holder to its account holder, to instruct settlement of a bilaterally agreed (as opposed to centrally generated) market claim for a corporate action event.

This message definition is intended for use with the Business Application Header (BAH).

Outline

The MarketClaimCreationV01 MessageDefinition is composed of 10 MessageBuildingBlocks:

A. TransactionReference

References of the transaction for which the securities settlement condition modification is requested.

B. CorporateActionGeneralInformation

General information about the corporate action event.

C. RelatedSettlementInstructionDetails

Information about the related settlement instruction for which the market claim has been created.

D. AccountDetails

General information about the safekeeping account, owner and account balance.

E. CorporateActionDetails

Information about the corporate action event.

F. MarketClaimType

Type of market claim creation requested.

G. MarketClaimDetails

Detailed information about the related corporate action option and related movements to which the market claim is linked.

H. DeliveringSettlementParties

Identifies the chain of delivering settlement parties.

I. ReceivingSettlementParties

Identifies the chain of receiving settlement parties.

J. SupplementaryData

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

3.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <MktClnCre>	[1..1]			
	TransactionReference <TxRef>	[1..1]			26
	AccountServicerTransactionIdentification <AcctSvcrTxId>	[1..1]	Text		26
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		26
	ProcessorTransactionIdentification <PrctrTxId>	[0..1]	Text		27
	CorporateActionGeneralInformation <CorpActnGnllnf>	[1..1]		C14	27
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		27
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		27
	EventType <EvtTp>	[1..1]	±	C9	28
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C7, C8, C11, C12, C15	28
	RelatedSettlementInstructionDetails <RltdSttlmInstrDtls>	[1..1]			29
	RelatedSettlementInstructionIdentification <RltdSttlmInstrId>	[1..1]	Text		29
	RelatedSettlementQuantity <RltdSttlmQty>	[0..1]	±		30
	AccountDetails <AcctDtls>	[1..1]		C18	30
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		30
	AccountOwner <AcctOwnr>	[0..1]	±		30
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		31
	CorporateActionDetails <CorpActnDtls>	[0..1]			31
	RecordDate <RcrdDt>	[0..1]	±		31
	ExDividendDate <ExDvddDt>	[0..1]	±		32
	MarketClaimType <MktClnTp>	[1..1]	CodeSet		32
	MarketClaimDetails <MktClnDtls>	[1..1]		C13	32
	OptionNumber <OptnNb>	[1..1]	Text		33
	OptionType <OptnTp>	[1..1]	±		33
	SecuritiesMovementDetails <SctiesMvmntDtls>	[0..*]			34
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C7, C8, C11, C12, C15	34

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		35
	EntitledQuantity <EntitldQty>	[1..1]	±		35
	PaymentDate <PmtDt>	[1..1]	±		36
	CashMovementDetails <CshMvmntDtls>	[0..*]			36
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		36
	CashAccountIdentification <CshAcctId>	[0..1]	±		37
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C6	37
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C6	37
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C1, C6	38
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		38
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C6	39
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		39
	PaymentDate <PmtDt>	[1..1]	±		39
	DeliveringSettlementParties <DlvrngSttlmPties>	[0..1]	±	C16, C17	40
	ReceivingSettlementParties <RcvngSttlmPties>	[0..1]	±	C16, C17	41
	SupplementaryData <SplmtryData>	[0..*]	±	C19	43

3.3 Constraints

C1 ActiveCurrency

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

C2 AdditionalInformationRule

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

C3 AdditionalInformationRule

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

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 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 DescriptionPresenceRule

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

C8 DescriptionUsageRule

Description must be used alone as the last resort.

C9 EventTypeRule

If Code is present, the code OTHR must only be used in case no other corporate action event code is appropriate.

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

If Code is present, the code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

C10 IBAN

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

C11 ISINGuideline

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

C12 ISINPresenceRule

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

C13 MovementDetailsRule

At least one occurrence of SecuritiesMovementDetails or CashMovementDetails must be present.

C14 OfficialCorporateActionEventReferenceGuideline

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are available in the SMPG Global Market Practices Part 1 document on www.smpg.info.

C15 OtherIdentificationPresenceRule

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

C16 Party2PresenceRule

If Party 2 is present, then Party 1 must be present.

C17 Party3PresenceRule

If Party 3 is present, then Party 2 must be present.

C18 SafekeepingPlaceRule

The SafekeepingPlace is only to be used by global custodians that allow their clients to specify where the securities are to be held, for example, in an ICSD account versus an account at the local CSD.

C19 SupplementaryDataRule

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

3.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

3.4.1 TransactionReference <TxRef>

Presence: [1..1]

Definition: References of the transaction for which the securities settlement condition modification is requested.

TransactionReference <TxRef> contains the following **References25** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountServicerTransactionIdentification <AcctSvcrTxId>	[1..1]	Text		26
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		26
	ProcessorTransactionIdentification <PrcrTxId>	[0..1]	Text		27

3.4.1.1 AccountServicerTransactionIdentification <AcctSvcrTxId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 193

3.4.1.2 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>

Presence: [0..1]

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

Datatype: "Max35Text" on page 193

3.4.1.3 ProcessorTransactionIdentification <PrctrxId>

Presence: [0..1]

Definition: Identification of the transaction assigned by the processor of the transaction other than the account holder, the account servicer and the non-CSD market infrastructure.

Datatype: "Max35Text" on page 193

3.4.2 CorporateActionGeneralInformation <CorpActnGnInf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C14 "OfficialCorporateActionEventReferenceGuideline"

CorporateActionGeneralInformation <CorpActnGnInf> contains the following **CorporateActionGeneralInformation157** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		27
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		27
	EventType <EvtTp>	[1..1]	±	C9	28
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C7, C8, C11, C12, C15	28

Constraints

- **OfficialCorporateActionEventReferenceGuideline**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are available in the SMPG Global Market Practices Part 1 document on www.smpg.info.

3.4.2.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 193

3.4.2.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

Presence: [0..1]

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

Datatype: "Max35Text" on page 193

3.4.2.3 EventType <EvtTp>

Presence: [1..1]

Definition: Type of corporate action event.

Impacted by: C9 "EventTypeRule"

EventType <EvtTp> contains one of the following elements (see "CorporateActionEventType85Choice" on page 122 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		122
Or}	Proprietary <Prtry>	[1..1]	±		128

Constraints

- **EventTypeRule**

If Code is present, the code OTHR must only be used in case no other corporate action event code is appropriate.

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

If Code is present, the code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

3.4.2.4 FinancialInstrumentIdentification <FinInstrmId>

Presence: [0..1]

Definition: Identification of a financial instrument.

Impacted by: C7 "DescriptionPresenceRule", C8 "DescriptionUsageRule", C11 "ISINGuideline", C12 "ISINPresenceRule", C15 "OtherIdentificationPresenceRule"

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		113
	OtherIdentification <OthrId>	[0..*]			113
	Identification <Id>	[1..1]	Text		114
	Suffix <Sfx>	[0..1]	Text		114
	Type <Tp>	[1..1]	±		114
	Description <Desc>	[0..1]	Text		114

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

3.4.3 RelatedSettlementInstructionDetails <RltdSttlmInstrDtls>

Presence: [1..1]

Definition: Information about the related settlement instruction for which the market claim has been created.

RelatedSettlementInstructionDetails <RltdSttlmInstrDtls> contains the following **RelatedSettlementInstruction1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RelatedSettlementInstructionIdentification <RltdSttlmInstrId>	[1..1]	Text		29
	RelatedSettlementQuantity <RltdSttlmQty>	[0..1]	±		30

3.4.3.1 RelatedSettlementInstructionIdentification <RltdSttlmInstrId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 193

3.4.3.2 RelatedSettlementQuantity <RltdSttlmQty>

Presence: [0..1]

Definition: Quantity of securities for which the market claim has been raised.

RelatedSettlementQuantity <RltdSttlmQty> contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 153 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		154
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		154

3.4.4 AccountDetails <AcctDtls>

Presence: [1..1]

Definition: General information about the safekeeping account, owner and account balance.

Impacted by: C18 "SafekeepingPlaceRule"

AccountDetails <AcctDtls> contains the following **AccountIdentification46** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		30
	AccountOwner <AcctOwnr>	[0..1]	±		30
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		31

Constraints

- **SafekeepingPlaceRule**

The SafekeepingPlace is only to be used by global custodians that allow their clients to specify where the securities are to be held, for example, in an ICSD account versus an account at the local CSD.

3.4.4.1 SafekeepingAccount <SfkpgAcct>

Presence: [1..1]

Definition: Account where financial instruments are maintained.

Datatype: "Max35Text" on page 193

3.4.4.2 AccountOwner <AcctOwnr>

Presence: [0..1]

Definition: Party that legally owns the account.

AccountOwner <AcctOwnr> contains one of the following elements (see "PartyIdentification127Choice" on page 134 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	134
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		135

3.4.4.3 SafekeepingPlace <SfkpgPlc>

Presence: [0..1]

Definition: Location where the financial instruments are/will be safekept.

SafekeepingPlace <SfkpgPlc> contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			151
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		151
	Identification <Id>	[0..1]	Text		152
Or	Country <Ctry>	[1..1]	CodeSet	C3	152
Or	TypeAndIdentification <TpAndId>	[1..1]			152
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		152
	Identification <Id>	[1..1]	IdentifierSet	C1	153
Or}	Proprietary <Prtry>	[1..1]	±		153

3.4.5 CorporateActionDetails <CorpActnDtls>

Presence: [0..1]

Definition: Information about the corporate action event.

CorporateActionDetails <CorpActnDtls> contains the following **CorporateAction59** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RecordDate <RcrdDt>	[0..1]	±		31
	ExDividendDate <ExDvddDt>	[0..1]	±		32

3.4.5.1 RecordDate <RcrdDt>

Presence: [0..1]

Definition: Date/time at which positions are struck at the end of the day to note which parties will receive the relevant amount of entitlement, due to be distributed on payment date.

RecordDate <RcrdDt> contains one of the following elements (see "DateAndDateTime2Choice" on page 105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		106
Or}	DateTime <DtTm>	[1..1]	DateTime		106

3.4.5.2 ExDividendDate <ExDvddDt>

Presence: [0..1]

Definition: Date/time as from which trading (including exchange and OTC trading) occurs on the underlying security without the benefit.

ExDividendDate <ExDvddDt> contains one of the following elements (see "DateAndDateTime2Choice" on page 105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		106
Or}	DateTime <DtTm>	[1..1]	DateTime		106

3.4.6 MarketClaimType <MktClnTp>

Presence: [1..1]

Definition: Type of market claim creation requested.

Datatype: "MarketClaimType1Code" on page 183

CodeName	Name	Definition
MKTC	MarketClaim	Market claim that has been created due to a pending/failing settlement transaction, to ensure the event proceeds are delivered from the seller to the buyer.
RVMC	ReverseMarketClaim	Market claim that has been created due to a settled settlement transaction, to ensure the event proceeds are delivered from the buyer to the seller.

3.4.7 MarketClaimDetails <MktClnDtls>

Presence: [1..1]

Definition: Detailed information about the related corporate action option and related movements to which the market claim is linked.

Impacted by: C13 "MovementDetailsRule"

MarketClaimDetails <MktCldtIs> contains the following **CorporateActionOption185** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OptionNumber <OptnNb>	[1..1]	Text		33
	OptionType <OptnTp>	[1..1]	±		33
	SecuritiesMovementDetails <SctiesMvmntDtIs>	[0..*]			34
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C7, C8, C11, C12, C15	34
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		35
	EntitledQuantity <EntitldQty>	[1..1]	±		35
	PaymentDate <PmtDt>	[1..1]	±		36
	CashMovementDetails <CshMvmntDtIs>	[0..*]			36
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		36
	CashAccountIdentification <CshAcctId>	[0..1]	±		37
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C6	37
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C6	37
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C1, C6	38
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		38
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C6	39
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		39
	PaymentDate <PmtDt>	[1..1]	±		39

Constraints

- **MovementDetailsRule**

At least one occurrence of SecuritiesMovementDetails or CashMovementDetails must be present.

3.4.7.1 OptionNumber <OptnNb>

Presence: [1..1]

Definition: Number identifying the available corporate action options.

Datatype: "Exact3NumericText" on page 191

3.4.7.2 OptionType <OptnTp>

Presence: [1..1]

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

OptionType <OptnTp> contains one of the following elements (see "[CorporateActionOption30Choice](#)" on page 119 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		119
Or}	Proprietary <Prtry>	[1..1]	±		121

3.4.7.3 SecuritiesMovementDetails <SctiesMvmntDtls>

Presence: [0..*]

Definition: Provides information about securities movement related to a corporate action option.

SecuritiesMovementDetails <SctiesMvmntDtls> contains the following **SecuritiesOption76** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C7, C8, C11, C12, C15	34
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		35
	EntitledQuantity <EntitldQty>	[1..1]	±		35
	PaymentDate <PmtDt>	[1..1]	±		36

3.4.7.3.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identification of the financial instrument.

Impacted by: [C7 "DescriptionPresenceRule"](#), [C8 "DescriptionUsageRule"](#), [C11 "ISINGuideline"](#), [C12 "ISINPresenceRule"](#), [C15 "OtherIdentificationPresenceRule"](#)

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "[SecurityIdentification19](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		113
	OtherIdentification <OthrId>	[0..*]			113
	Identification <Id>	[1..1]	Text		114
	Suffix <Sfx>	[0..1]	Text		114
	Type <Tp>	[1..1]	±		114
	Description <Desc>	[0..1]	Text		114

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

3.4.7.3.2 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

Definition: Specifies whether the value is a debit or credit.

Datatype: "CreditDebitCode" on page 181

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

3.4.7.3.3 EntitledQuantity <EntitldQty>

Presence: [1..1]

Definition: Quantity of securities based on the terms of the corporate action event and balance of underlying securities entitled to the account owner. (This quantity can be positive or negative).

EntitledQuantity <EntitldQty> contains one of the following elements (see "[Quantity6Choice](#)" on page 115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		115
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		116

3.4.7.3.4 PaymentDate <PmtDt>

Presence: [1..1]

Definition: Date/time at which the movement is due to take place (cash and/or securities).

PaymentDate <PmtDt> contains one of the following elements (see "[DateFormat58Choice](#)" on page 105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DateOrDateTime <DtOrDtTm>	[1..1]	±		105
Or}	DateCode <DtCd>	[1..1]	CodeSet		105

3.4.7.4 CashMovementDetails <CshMvmntDtls>

Presence: [0..*]

Definition: Provides information about the cash movement linked to the corporate action option.

CashMovementDetails <CshMvmntDtls> contains the following **CashOption76** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		36
	CashAccountIdentification <CshAcctId>	[0..1]	±		37
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C6	37
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C6	37
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C1, C6	38
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		38
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C6	39
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		39
	PaymentDate <PmtDt>	[1..1]	±		39

3.4.7.4.1 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

Definition: Indicates whether the value is a debit or a credit.

Datatype: "[CreditDebitCode](#)" on page 181

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

3.4.7.4.2 CashAccountIdentification <CshAcctId>

Presence: [0..1]

Definition: Identification of the account in which cash is maintained.

CashAccountIdentification <CshAcctId> contains one of the following elements (see "CashAccountIdentification5Choice" on page 103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C10	103
Or}	Proprietary <Prtry>	[1..1]	Text		103

3.4.7.4.3 GrossCashAmount <GrssCshAmt>

Presence: [0..1]

Definition: Amount of money before any deductions and allowances have been made.

Impacted by: C1 "ActiveCurrency", C6 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 170

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

3.4.7.4.4 NetCashAmount <NetCshAmt>

Presence: [0..1]

Definition: Amount of money after deductions and allowances have been made, if any, that is, the total amount +/- charges/fees.

Impacted by: C1 "ActiveCurrency", C6 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 170

Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

3.4.7.4.5 EntitledAmount <EntitldAmt>

Presence: [0..1]

Definition: Cash amount based on the terms of the corporate action event and balance of underlying securities, entitled to/from account owner (which may be positive or negative).

Impacted by: C1 "ActiveCurrency", C6 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 170

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

3.4.7.4.6 WithholdingTaxRate <WhldgTaxRate>

Presence: [0..*]

Definition: Percentage of a cash distribution that will be withheld by the tax authorities of the jurisdiction of the issuer, for which a relief at source and/or reclaim may be possible.

WithholdingTaxRate <WhldgTaxRate> contains one of the following elements (see "RateAndAmountFormat40Choice" on page 149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		149
Or	Amount <Amt>	[1..1]	Amount	C1	149
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			150
	RateType <RateTp>	[1..1]			150
{Or	Code <Cd>	[1..1]	CodeSet		150
Or}	Proprietary <Prtry>	[1..1]	±		150
	Rate <Rate>	[1..1]	Rate		151

3.4.7.4.7 WithholdingTaxAmount <WhldgTaxAmt>*Presence:* [0..1]*Definition:* Amount of a cash distribution that will be withheld by the tax authorities of the jurisdiction of the issuer, for which a relief at source and/or reclaim may be possible.*Impacted by:* C1 "ActiveCurrency", C6 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 170**Constraints**

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

3.4.7.4.8 EarliestPaymentDate <EarlstPmtDt>*Presence:* [0..1]*Definition:* Date/time on which a payment can be made, for example, if the payment date is a non-business day or to indicate the first payment date of an offer.

EarliestPaymentDate <EarlstPmtDt> contains one of the following elements (see "[DateAndDateTime2Choice](#)" on page 105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		106
Or}	DateTime <DtTm>	[1..1]	DateTime		106

3.4.7.4.9 PaymentDate <PmtDt>*Presence:* [1..1]*Definition:* Date/time on which the movement is due to take place (cash and/or securities).

PaymentDate <PmtDt> contains one of the following elements (see "[DateFormat43Choice](#)" on page 103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		104
Or}	DateCode <DtCd>	[1..1]			104
{Or	Code <Cd>	[1..1]	CodeSet		104
Or}	Proprietary <Prtry>	[1..1]	±		104

3.4.8 DeliveringSettlementParties <DlvrgSttlmPties>

Presence: [0..1]

Definition: Identifies the chain of delivering settlement parties.

Impacted by: C16 "Party2PresenceRule", C17 "Party3PresenceRule"

DeliveringSettlementParties <DlvrgSttlmPties> contains the following elements (see "SettlementParties75" on page 154 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]		C2	156
	Identification <Id>	[1..1]			156
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	156
Or	NameAndAddress <NmAndAdr>	[1..1]	±		157
Or}	Country <Ctry>	[1..1]	CodeSet	C3	157
	ProcessingIdentification <PrctlId>	[0..1]	Text		157
	AlternateIdentification <AltrnId>	[0..*]	±		157
	Party1 <Pty1>	[0..1]		C3	158
	Identification <Id>	[1..1]	±		158
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		158
	ProcessingIdentification <PrctlId>	[0..1]	Text		159
	AlternateIdentification <AltrnId>	[0..*]	±		159
	Party2 <Pty2>	[0..1]		C3	159
	Identification <Id>	[1..1]	±		159
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		160
	ProcessingIdentification <PrctlId>	[0..1]	Text		160
	AlternateIdentification <AltrnId>	[0..*]	±		160
	Party3 <Pty3>	[0..1]		C3	160
	Identification <Id>	[1..1]	±		161
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		161
	ProcessingIdentification <PrctlId>	[0..1]	Text		161
	AlternateIdentification <AltrnId>	[0..*]	±		161

Constraints

- **Party2PresenceRule**

If Party 2 is present, then Party 1 must be present.

On Condition
/Party2 is present

Following Must be True
/Party1 Must be present

- **Party3PresenceRule**

If Party 3 is present, then Party 2 must be present.

On Condition
/Party3 is present
Following Must be True
/Party2 Must be present

3.4.9 ReceivingSettlementParties <RcvgSttlmPties>

Presence: [0..1]

Definition: Identifies the chain of receiving settlement parties.

Impacted by: C16 "Party2PresenceRule", C17 "Party3PresenceRule"

ReceivingSettlementParties <RcvgSttlmPties> contains the following elements (see "SettlementParties75" on page 154 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]		C2	156
	Identification <Id>	[1..1]			156
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	156
Or	NameAndAddress <NmAndAdr>	[1..1]	±		157
Or}	Country <Ctry>	[1..1]	CodeSet	C3	157
	ProcessingIdentification <Prcgld>	[0..1]	Text		157
	AlternatIdentification <Altrnld>	[0..*]	±		157
	Party1 <Pty1>	[0..1]		C3	158
	Identification <Id>	[1..1]	±		158
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		158
	ProcessingIdentification <Prcgld>	[0..1]	Text		159
	AlternatIdentification <Altrnld>	[0..*]	±		159
	Party2 <Pty2>	[0..1]		C3	159
	Identification <Id>	[1..1]	±		159
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		160
	ProcessingIdentification <Prcgld>	[0..1]	Text		160
	AlternatIdentification <Altrnld>	[0..*]	±		160
	Party3 <Pty3>	[0..1]		C3	160
	Identification <Id>	[1..1]	±		161
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		161
	ProcessingIdentification <Prcgld>	[0..1]	Text		161
	AlternatIdentification <Altrnld>	[0..*]	±		161

Constraints

- Party2PresenceRule**

If Party 2 is present, then Party 1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

- Party3PresenceRule**

If Party 3 is present, then Party 2 must be present.

On Condition
 /Party3 is present
 Following Must be True
 /Party2 Must be present

3.4.10 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: C19 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "[SupplementaryData1](#)" on page 121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		121
	Envelope <Envlp>	[1..1]	(External Schema)		121

Constraints

- **SupplementaryDataRule**

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

4 seev.051.001.01 MarketClaimCancellationRequestV01

4.1 MessageDefinition Functionality

Scope and Usage

The MarketClaimCancellationRequest message is sent by the account holder to the account servicer.

It is sent to request the cancellation of a market claim transaction.

This message definition is intended for use with the Business Application Header (BAH).

Outline

The MarketClaimCancellationRequestV01 MessageDefinition is composed of 5 MessageBuildingBlocks:

- A. MarketClaimCreationIdentification
Identification of the related market claim creation document for which the cancellation is requested.
- B. TransactionReference
References of the market claim for which cancellation is requested.
- C. CorporateActionGeneralInformation
General information about the corporate action event.
- D. AccountDetails
General information about the safekeeping account, owner and account balance.
- E. SupplementaryData
Additional information that cannot be captured in the structured fields and/or any other specific block.

4.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <MktClnCxlReq>	[1..1]			
	MarketClaimCreationIdentification <MktClnCreld>	[1..1]	±		46
	TransactionReference <TxRef>	[1..1]			47
	AccountServicerTransactionIdentification <AcctSvcrTxld>	[1..1]	Text		47
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxld>	[0..1]	Text		47
	ProcessorTransactionIdentification <PrctrTxld>	[0..1]	Text		47
	CorporateActionGeneralInformation <CorpActnGnllnf>	[1..1]		C8	47
	CorporateActionEventIdentification <CorpActnEvtld>	[1..1]	Text		48
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtld>	[0..1]	Text		48
	EventType <EvtTp>	[1..1]	±	C5	48
	FinancialInstrumentIdentification <FinInstrmld>	[0..1]	±	C3, C4, C6, C7, C9	49
	AccountDetails <AcctDtls>	[1..1]		C10	50
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		50
	AccountOwner <AcctOwnr>	[0..1]	±		50
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		51
	SupplementaryData <SplmtryData>	[0..*]	±	C11	51

4.3 Constraints

C1 AnyBIC

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

C2 Country

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

C3 DescriptionPresenceRule

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

C4 DescriptionUsageRule

Description must be used alone as the last resort.

C5 EventTypeRule

If Code is present, the code OTHR must only be used in case no other corporate action event code is appropriate.

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

If Code is present, the code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

C6 ISINGuideline

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

C7 ISINPresenceRule

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

C8 OfficialCorporateActionEventReferenceGuideline

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are available in the SMPG Global Market Practices Part 1 document on www.smpg.info.

C9 OtherIdentificationPresenceRule

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

C10 SafekeepingPlaceRule

The SafekeepingPlace is only to be used by global custodians that allow their clients to specify where the securities are to be held, for example, in an ICSD account versus an account at the local CSD.

C11 SupplementaryDataRule

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

4.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

4.4.1 MarketClaimCreationIdentification <MktCImCreId>

Presence: [1..1]

Definition: Identification of the related market claim creation document for which the cancellation is requested.

MarketClaimCreationIdentification <MktCmCred> contains the following elements (see "DocumentIdentification9" on page 119 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification </d>	[1..1]	Text		119

4.4.2 TransactionReference <TxRef>

Presence: [1..1]

Definition: References of the market claim for which cancellation is requested.

TransactionReference <TxRef> contains the following **References26** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountServicerTransactionIdentification <AcctSvcrTxId>	[1..1]	Text		47
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		47
	ProcessorTransactionIdentification <PrcrTxId>	[0..1]	Text		47

4.4.2.1 AccountServicerTransactionIdentification <AcctSvcrTxId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 193

4.4.2.2 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>

Presence: [0..1]

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

Datatype: "Max35Text" on page 193

4.4.2.3 ProcessorTransactionIdentification <PrcrTxId>

Presence: [0..1]

Definition: Identification of the transaction assigned by the processor of the transaction other than the account holder, the account servicer and the non-CSD market infrastructure.

Datatype: "Max35Text" on page 193

4.4.3 CorporateActionGeneralInformation <CorpActnGnllnf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C8 "OfficialCorporateActionEventReferenceGuideline"

CorporateActionGeneralInformation <CorpActnGnlInf> contains the following
CorporateActionGeneralInformation157 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		48
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		48
	EventType <EvtTp>	[1..1]	±	C5	48
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C3, C4, C6, C7, C9	49

Constraints

- **OfficialCorporateActionEventReferenceGuideline**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are available in the SMPG Global Market Practices Part 1 document on www.smpg.info.

4.4.3.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 193

4.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

Presence: [0..1]

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

Datatype: "Max35Text" on page 193

4.4.3.3 EventType <EvtTp>

Presence: [1..1]

Definition: Type of corporate action event.

Impacted by: C5 "EventTypeRule"

EventType <EvtTp> contains one of the following elements (see "CorporateActionEventType85Choice" on page 122 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		122
Or}	Proprietary <Prtry>	[1..1]	±		128

Constraints

- **EventTypeRule**

If Code is present, the code OTHR must only be used in case no other corporate action event code is appropriate.

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

If Code is present, the code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

4.4.3.4 FinancialInstrumentIdentification <FinInstrmId>

Presence: [0..1]

Definition: Identification of a financial instrument.

Impacted by: C3 "DescriptionPresenceRule", C4 "DescriptionUsageRule", C6 "ISINGuideline", C7 "ISINPresenceRule", C9 "OtherIdentificationPresenceRule"

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		113
	OtherIdentification <OthrId>	[0..*]			113
	Identification <Id>	[1..1]	Text		114
	Suffix <Sfx>	[0..1]	Text		114
	Type <Tp>	[1..1]	±		114
	Description <Desc>	[0..1]	Text		114

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

4.4.4 AccountDetails <AcctDtls>

Presence: [1..1]

Definition: General information about the safekeeping account, owner and account balance.

Impacted by: [C10 "SafekeepingPlaceRule"](#)

AccountDetails <AcctDtls> contains the following **AccountIdentification46** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		50
	AccountOwner <AcctOwnr>	[0..1]	±		50
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		51

Constraints

- **SafekeepingPlaceRule**

The SafekeepingPlace is only to be used by global custodians that allow their clients to specify where the securities are to be held, for example, in an ICSD account versus an account at the local CSD.

4.4.4.1 SafekeepingAccount <SfkpgAcct>

Presence: [1..1]

Definition: Account where financial instruments are maintained.

Datatype: ["Max35Text" on page 193](#)

4.4.4.2 AccountOwner <AcctOwnr>

Presence: [0..1]

Definition: Party that legally owns the account.

AccountOwner <AcctOwnr> contains one of the following elements (see "PartyIdentification127Choice" on page 134 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	134
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		135

4.4.4.3 SafekeepingPlace <SfkpgPlc>

Presence: [0..1]

Definition: Location where the financial instruments are/will be safekept.

SafekeepingPlace <SfkpgPlc> contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			151
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		151
	Identification <Id>	[0..1]	Text		152
Or	Country <Ctry>	[1..1]	CodeSet	C3	152
Or	TypeAndIdentification <TpAndId>	[1..1]			152
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		152
	Identification <Id>	[1..1]	IdentifierSet	C1	153
Or}	Proprietary <Prtry>	[1..1]	±		153

4.4.5 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: C11 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "SupplementaryData1" on page 121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		121
	Envelope <Envlp>	[1..1]	(External Schema)		121

Constraints

- **SupplementaryDataRule**

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

5 seev.052.001.01 MarketClaimStatusAdviceV01

5.1 MessageDefinition Functionality

Scope and Usage

The MarketClaimStatusAdvice message is sent by an account servicer to an account holder to provide the status of a market claim transaction.

This message definition is intended for use with the Business Application Header (BAH).

Outline

The MarketClaimStatusAdviceV01 MessageDefinition is composed of 7 MessageBuildingBlocks:

- A. MarketClaimCreationIdentification
Identification of a related instruction document.
- B. TransactionReference
References of the transaction for which the securities settlement condition modification is requested.
- C. CorporateActionGeneralInformation
General information about the corporate action event.
- D. AccountDetails
General information about the safekeeping account, owner and account balance.
- E. MarketClaimProcessingStatus
Status information about the processing of the market claim transaction.
- F. MarketClaimDetails
Details of the market claim transaction for which a status is provided.
- G. SupplementaryData
Additional information that cannot be captured in the structured fields and/or any other specific block.

5.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <MktClnStsAdv>	[1..1]			
	MarketClaimCreationIdentification <MktClnCreId>	[0..1]	±		57
	TransactionReference <TxRef>	[1..1]			57
	AccountServicerTransactionIdentification <AcctSvcrTxId>	[1..1]	Text		57
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		57
	ProcessorTransactionIdentification <PrctrTxId>	[0..1]	Text		57
	CorporateActionGeneralInformation <CorpActnGnlInf>	[1..1]		C17	58
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		58
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		58
	EventType <EvtTp>	[1..1]	±	C12	58
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C10, C11, C14, C15, C18	59
	AccountDetails <AcctDtls>	[0..1]		C19	60
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		60
	AccountOwner <AcctOwnr>	[0..1]	±		61
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		61
	MarketClaimProcessingStatus <MktClnPrcgSts>	[1..1]			61
{Or	Cancelled <Canc>	[1..1]	±		62
Or	AcceptedForFurtherProcessing <AccptdForFrthrPrcg>	[1..1]	±		63
Or	Rejected <Rjctd>	[1..1]			63
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		64
Or}	Reason <Rsn>	[1..*]		C4	64
	ReasonCode <RsnCd>	[1..1]			64
{Or	Code <Cd>	[1..1]	CodeSet		65
Or}	Proprietary <Prtry>	[1..1]	±		65
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		66
Or	Pending <Pdg>	[1..1]			66
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		66

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	Reason <Rsn>	[1..*]		C5	66
	ReasonCode <RsnCd>	[1..1]			67
{Or	Code <Cd>	[1..1]	CodeSet		67
Or}	Proprietary <Prtry>	[1..1]	±		68
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		68
Or	MatchingStatus <MtchgSts>	[0..1]			68
{Or	Matched <Mtchd>	[1..1]	±	C6	69
Or	Unmatched <Umtchd>	[1..1]			69
{Or	NoSpecifiedReason <NoSpfcdRsn>	[1..1]	CodeSet		70
Or}	Reason <Rsn>	[1..*]			70
	Code <Cd>	[1..1]			70
{Or	Code <Cd>	[1..1]	CodeSet		71
Or}	Proprietary <Prtry>	[1..1]	±		71
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		71
Or}	Proprietary <Prtry>	[1..1]	±		72
Or}	ProprietaryStatus <PrtrySts>	[1..1]	±		72
	MarketClaimDetails <MktClmDtls>	[0..1]		C16	72
	OptionNumber <OptnNb>	[1..1]	Text		73
	OptionType <OptnTp>	[1..1]	±		73
	SecuritiesMovementDetails <SctiesMvmntDtls>	[0..*]			74
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C10, C11, C14, C15, C18	74
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		75
	EntitledQuantity <EntitldQty>	[1..1]	±		75
	PaymentDate <PmtDt>	[1..1]	±		76
	CashMovementDetails <CshMvmntDtls>	[0..*]			76
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		76
	CashAccountIdentification <CshAcctId>	[0..1]	±		77
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C9	77
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C9	77
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C1, C9	78

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		78
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C9	79
	EarliestPaymentDate <EarlStPmtDt>	[0..1]	±		79
	PaymentDate <PmtDt>	[1..1]	±		79
	SupplementaryData <SplmtryData>	[0..*]	±	C20	80

5.3 Constraints

C1 ActiveCurrency

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

C2 AdditionalReasonInformationRule

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

C3 AdditionalReasonInformationRule

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

C4 AdditionalReasonInformationRule

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

C5 AdditionalReasonInformationRule

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

C6 AdditionalReasonInformationRule

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

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 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 DescriptionPresenceRule

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

C11 DescriptionUsageRule

Description must be used alone as the last resort.

C12 EventTypeRule

If Code is present, the code OTHR must only be used in case no other corporate action event code is appropriate.

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

If Code is present, the code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

C13 IBAN

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

C14 ISINGuideline

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

C15 ISINPresenceRule

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

C16 MovementDetailsRule

At least one occurrence of SecuritiesMovementDetails or CashMovementDetails must be present.

C17 OfficialCorporateActionEventReferenceGuideline

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are available in the SMPG Global Market Practices Part 1 document on www.smpg.info.

C18 OtherIdentificationPresenceRule

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

C19 SafekeepingPlaceRule

The SafekeepingPlace is only to be used by global custodians that allow their clients to specify where the securities are to be held, for example, in an ICSD account versus an account at the local CSD.

C20 SupplementaryDataRule

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

5.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

5.4.1 MarketClaimCreationIdentification <MktClmCred>

Presence: [0..1]

Definition: Identification of a related instruction document.

MarketClaimCreationIdentification <MktClmCred> contains the following elements (see "DocumentIdentification9" on page 119 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		119

5.4.2 TransactionReference <TxRef>

Presence: [1..1]

Definition: References of the transaction for which the securities settlement condition modification is requested.

TransactionReference <TxRef> contains the following **References26** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountServicerTransactionIdentification <AcctSvcrTxId>	[1..1]	Text		57
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		57
	ProcessorTransactionIdentification <PrcrTxId>	[0..1]	Text		57

5.4.2.1 AccountServicerTransactionIdentification <AcctSvcrTxId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 193

5.4.2.2 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>

Presence: [0..1]

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

Datatype: "Max35Text" on page 193

5.4.2.3 ProcessorTransactionIdentification <PrcrTxId>

Presence: [0..1]

Definition: Identification of the transaction assigned by the processor of the transaction other than the account holder, the account servicer and the non-CSD market infrastructure.

Datatype: "Max35Text" on page 193

5.4.3 CorporateActionGeneralInformation <CorpActnGnllnf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C17 "OfficialCorporateActionEventReferenceGuideline"

CorporateActionGeneralInformation <CorpActnGnllnf> contains the following **CorporateActionGeneralInformation157** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification <CorpActnEvtld>	[1..1]	Text		58
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtld>	[0..1]	Text		58
	EventType <EvtTp>	[1..1]	±	C12	58
	FinancialInstrumentIdentification <FinInstrmld>	[0..1]	±	C10, C11, C14, C15, C18	59

Constraints

- **OfficialCorporateActionEventReferenceGuideline**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are available in the SMPG Global Market Practices Part 1 document on www.smpg.info.

5.4.3.1 CorporateActionEventIdentification <CorpActnEvtld>

Presence: [1..1]

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

Datatype: "Max35Text" on page 193

5.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtld>

Presence: [0..1]

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

Datatype: "Max35Text" on page 193

5.4.3.3 EventType <EvtTp>

Presence: [1..1]

Definition: Type of corporate action event.

Impacted by: C12 "EventTypeRule"

EventType <EvtTp> contains one of the following elements (see "CorporateActionEventType85Choice" on page 122 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		122
Or}	Proprietary <Prtry>	[1..1]	±		128

Constraints

- **EventTypeRule**

If Code is present, the code OTHR must only be used in case no other corporate action event code is appropriate.

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

If Code is present, the code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

5.4.3.4 FinancialInstrumentIdentification <FinInstrmId>

Presence: [0..1]

Definition: Identification of a financial instrument.

Impacted by: C10 "DescriptionPresenceRule", C11 "DescriptionUsageRule", C14 "ISINGuideline", C15 "ISINPresenceRule", C18 "OtherIdentificationPresenceRule"

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		113
	OtherIdentification <OthrId>	[0..*]			113
	Identification <Id>	[1..1]	Text		114
	Suffix <Sfx>	[0..1]	Text		114
	Type <Tp>	[1..1]	±		114
	Description <Desc>	[0..1]	Text		114

Constraints

- **DescriptionPresenceRule**

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

On Condition
/Description is absent

```

Following Must be True
  /ISIN Must be present
Or    /OtherIdentification[*] Must be present

```

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

```

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

```

- **OtherIdentificationPresenceRule**

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

```

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

```

5.4.4 AccountDetails <AcctDtls>

Presence: [0..1]

Definition: General information about the safekeeping account, owner and account balance.

Impacted by: C19 "SafekeepingPlaceRule"

AccountDetails <AcctDtls> contains the following **AccountIdentification46** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		60
	AccountOwner <AcctOwnr>	[0..1]	±		61
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		61

Constraints

- **SafekeepingPlaceRule**

The SafekeepingPlace is only to be used by global custodians that allow their clients to specify where the securities are to be held, for example, in an ICSD account versus an account at the local CSD.

5.4.4.1 SafekeepingAccount <SfkpgAcct>

Presence: [1..1]

Definition: Account where financial instruments are maintained.

Datatype: "Max35Text" on page 193

5.4.4.2 AccountOwner <AcctOwnr>

Presence: [0..1]

Definition: Party that legally owns the account.

AccountOwner <AcctOwnr> contains one of the following elements (see "PartyIdentification127Choice" on page 134 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	134
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		135

5.4.4.3 SafekeepingPlace <SfkpgPlc>

Presence: [0..1]

Definition: Location where the financial instruments are/will be safekept.

SafekeepingPlace <SfkpgPlc> contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			151
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		151
	Identification <Id>	[0..1]	Text		152
Or	Country <Ctry>	[1..1]	CodeSet	C3	152
Or	TypeAndIdentification <TpAndId>	[1..1]			152
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		152
	Identification <Id>	[1..1]	IdentifierSet	C1	153
Or}	Proprietary <Prtry>	[1..1]	±		153

5.4.5 MarketClaimProcessingStatus <MktCImPrcgSts>

Presence: [1..1]

Definition: Status information about the processing of the market claim transaction.

MarketClaimProcessingStatus <MktCImPrcgSts> contains one of the following **MarketClaimProcessingStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Cancelled <Canc>	[1..1]	±		62
Or	AcceptedForFurtherProcessing <AccptdForFrthrPrcg>	[1..1]	±		63
Or	Rejected <Rjctd>	[1..1]			63
{Or	NoSpecifiedReason <NoSpfcdRsn>	[1..1]	CodeSet		64
Or}	Reason <Rsn>	[1..*]		C4	64
	ReasonCode <RsnCd>	[1..1]			64
{Or	Code <Cd>	[1..1]	CodeSet		65
Or}	Proprietary <Prtry>	[1..1]	±		65
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		66
Or	Pending <Pdg>	[1..1]			66
{Or	NoSpecifiedReason <NoSpfcdRsn>	[1..1]	CodeSet		66
Or}	Reason <Rsn>	[1..*]		C5	66
	ReasonCode <RsnCd>	[1..1]			67
{Or	Code <Cd>	[1..1]	CodeSet		67
Or}	Proprietary <Prtry>	[1..1]	±		68
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		68
Or	MatchingStatus <MtchgSts>	[0..1]			68
{Or	Matched <Mtchd>	[1..1]	±	C6	69
Or	Unmatched <Umtchd>	[1..1]			69
{Or	NoSpecifiedReason <NoSpfcdRsn>	[1..1]	CodeSet		70
Or}	Reason <Rsn>	[1..*]			70
	Code <Cd>	[1..1]			70
{Or	Code <Cd>	[1..1]	CodeSet		71
Or}	Proprietary <Prtry>	[1..1]	±		71
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		71
Or}	Proprietary <Prtry>	[1..1]	±		72
Or}	ProprietaryStatus <PrtrySts>	[1..1]	±		72

5.4.5.1 Cancelled <Canc>

Presence: [1..1]

Definition: Provides status information related to an instruction request cancelled.

Cancelled <Canc> contains one of the following elements (see "[CancelledStatus12Choice](#)" on page 166 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		167
Or}	Reason <Rsn>	[1..*]		C2	167
	ReasonCode <RsnCd>	[1..1]			167
{Or	Code <Cd>	[1..1]	CodeSet		168
Or}	Proprietary <Prtry>	[1..1]	±		168
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		168

5.4.5.2 AcceptedForFurtherProcessing <AccptdForFrthrPrcg>

Presence: [1..1]

Definition: Provides status information related to an instruction request that is accepted. This means that the instruction has been received, is processable and has been validated for further processing.

AcceptedForFurtherProcessing <AccptdForFrthrPrcg> contains one of the following elements (see "[AcceptedStatus8Choice](#)" on page 165 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		165
Or}	Reason <Rsn>	[1..*]		C3	165
	ReasonCode <RsnCd>	[1..1]			165
{Or	Code <Cd>	[1..1]	CodeSet		166
Or}	Proprietary <Prtry>	[1..1]	±		166
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		166

5.4.5.3 Rejected <Rjctd>

Presence: [1..1]

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

Rejected <Rjctd> contains one of the following **RejectedStatus37Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		64
Or}	Reason <Rsn>	[1..*]		C4	64
	ReasonCode <RsnCd>	[1..1]			64
{Or	Code <Cd>	[1..1]	CodeSet		65
Or}	Proprietary <Prtry>	[1..1]	±		65
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		66

5.4.5.3.1 NoSpecifiedReason <NoSpctdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 183

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

5.4.5.3.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the rejected status.

Impacted by: C4 "AdditionalReasonInformationRule"

Reason <Rsn> contains the following **RejectedStatusReason35** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			64
{Or	Code <Cd>	[1..1]	CodeSet		65
Or}	Proprietary <Prtry>	[1..1]	±		65
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		66

Constraints

- **AdditionalReasonInformationRule**

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

5.4.5.3.2.1 ReasonCode <RsnCd>

Presence: [1..1]

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

ReasonCode <RsnCd> contains one of the following **RejectedReason37Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		65
Or}	Proprietary <Prtry>	[1..1]	±		65

5.4.5.3.2.1.1 Code <Cd>

Presence: [1..1]

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

Datatype: "RejectionReason59Code" on page 185

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
OPTY	InvalidOptionType	Invalid option type.
ULNK	InvalidReference	Linked reference is unknown.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
LATE	MarketDeadlineMissed	Received after market deadline.
NMTY	Mismatch	Mismatch between option number and option type.
OPNM	OptionNumberRejection	Unrecognised option number.
OTHR	Other	Other. See Narrative.
DQUA	QuantityRejection	Unrecognised or invalid instructed quantity.
SAFE	SafekeepingAccountRejection	Unrecognised or invalid message sender's safekeeping account.
EVNM	UnrecognisedIdentification	Unrecognised event number.
DQCS	AmountRejection	Unrecognised or invalid instructed cash amount.
DQCC	CurrencyRejection	Invalid instructed currency.

5.4.5.3.2.1.2 Proprietary <Prtry>

Presence: [1..1]

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

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

5.4.5.3.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "[Max210Text](#)" on page 193

5.4.5.4 Pending <Pdg>

Presence: [1..1]

Definition: Provides status information related to a pending instruction.

Pending <Pdg> contains one of the following **PendingStatus63Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		66
Or}	Reason <Rsn>	[1..*]		C5	66
	ReasonCode <RsnCd>	[1..1]			67
{Or	Code <Cd>	[1..1]	CodeSet		67
Or}	Proprietary <Prtry>	[1..1]	±		68
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		68

5.4.5.4.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "[NoReasonCode](#)" on page 183

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

5.4.5.4.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the pending status.

Impacted by: [C5 "AdditionalReasonInformationRule"](#)

Reason <Rsn> contains the following **PendingStatusReason22** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			67
{Or	Code <Cd>	[1..1]	CodeSet		67
Or}	Proprietary <Prtry>	[1..1]	±		68
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		68

Constraints

- **AdditionalReasonInformationRule**

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

5.4.5.4.2.1 ReasonCode <RsnCd>

Presence: [1..1]

Definition: Specifies the reason why the instruction's processing is pending.

ReasonCode <RsnCd> contains one of the following **PendingReason59Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		67
Or}	Proprietary <Prtry>	[1..1]	±		68

5.4.5.4.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the reason why the instruction/event has a pending status.

Datatype: "PendingReason22Code" on page 184

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Instruction was received after the account servicer's deadline. Processed on best effort basis.
OTHR	Other	Other. See Narrative.
MONY	InsufficientMoney	Insufficient money in your account.
LACK	LackOfSecurities	Insufficient financial instruments in your account.
LATE	MarketDeadlineMissed	Instruction was received after market deadline.
CLAC	CounterpartyInsufficientSecurities	Insufficient deliverable financial instruments in counterparty's account or counterparty does not hold financial instruments.
CMON	CounterpartyInsufficientMoney	Insufficient money in counterparty's account.

CodeName	Name	Definition
PREA	YourInstructionOnHold	Your instruction is a preadvice, that is, for matching only.
LINK	PendingLinkedInstruction	Your instruction is pending settlement because the instruction linked to it is pending.
CYCL	AwaitingNextSettlementCycle	Your instruction is confirmed in the local market or is ready for settlement, awaiting next settlement cycle.
BOTH	BothInstructionsOnHold	Counterparty's instruction and your instruction are on hold/frozen/ in a preadvice mode.
PRCY	CounterpartyInstructionOnHold	Counterparty's instruction is a preadvice, that is, for matching only.
FUTU	AwaitingSettlementDate	Awaiting settlement date. No settlement problems to be reported.

5.4.5.4.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the reason why the instruction/event has a pending status.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

5.4.5.4.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "[Max210Text](#)" on page 193

5.4.5.5 MatchingStatus <MtchgSts>

Presence: [0..1]

Definition: Provides the matching status of the instruction.

MatchingStatus <MtchgSts> contains one of the following **MatchingStatus34Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Matched <Mtchd>	[1..1]	±	C6	69
Or	Unmatched <Umtchd>	[1..1]			69
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		70
Or}	Reason <Rsn>	[1..*]			70
	Code <Cd>	[1..1]			70
{Or	Code <Cd>	[1..1]	CodeSet		71
Or}	Proprietary <Prtry>	[1..1]	±		71
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		71
Or}	Proprietary <Prtry>	[1..1]	±		72

5.4.5.5.1 Matched <Mtchd>

Presence: [1..1]

Definition: Status is matched.

Impacted by: C6 "AdditionalReasonInformationRule"

Matched <Mtchd> contains the following elements (see "ProprietaryReason4" on page 162 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	±		162
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		162

Constraints

- **AdditionalReasonInformationRule**

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

5.4.5.5.2 Unmatched <Umtchd>

Presence: [1..1]

Definition: Status is unmatched.

Unmatched <Umtchd> contains one of the following **UnmatchedStatus23Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		70
Or}	Reason <Rsn>	[1..*]			70
	Code <Cd>	[1..1]			70
{Or	Code <Cd>	[1..1]	CodeSet		71
Or}	Proprietary <Prtry>	[1..1]	±		71
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		71

5.4.5.5.2.1 NoSpecifiedReason <NoSpctdRsn>

Presence: [1..1]

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

Datatype: "NoReasonCode" on page 183

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

5.4.5.5.2.2 Reason <Rsn>

Presence: [1..*]

Definition: Specifies the reason of the unmatched status.

Reason <Rsn> contains the following **UnmatchedReason22** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			70
{Or	Code <Cd>	[1..1]	CodeSet		71
Or}	Proprietary <Prtry>	[1..1]	±		71
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		71

5.4.5.5.2.2.1 Code <Cd>

Presence: [1..1]

Definition: Specifies the reason why the instruction has an unmatched status.

Code <Cd> contains one of the following **UnmatchedReason31Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		71
Or}	Proprietary <Prtry>	[1..1]	±		71

5.4.5.5.2.2.1.1 Code <Cd>*Presence:* [1..1]*Definition:* Specifies the reason why the instruction has an unmatched status.*Datatype:* "UnmatchedReason16Code" on page 187

CodeName	Name	Definition
NCRR	CurrencySettlementAmount	Settlement amount currency does not match.
DSEC	FinancialInstrument	Financial instrument identification does not match, for example, ISIN, financial instrument attributes differs.
DQUA	FinancialInstrumentQuantity	Quantity of financial instruments does not match.
CMIS	NoMatch	A matching instruction from your counterparty could not be found.
DEPT	ReceivingDeliveringDepository	Depository does not match.
ICAG	ReceivingDeliveringParty1	Participant of delivering or receiving depository does not match.
ICUS	ReceivingDeliveringParty2	Client of delivering or receiving party 1 does not match.
IEXE	ReceivingDeliveringParty3	Client of delivering or receiving party 2 does not match.
DMON	SettlementAmount	Settlement amount does not match.
DDAT	SettlementDate	Settlement date/time does not match.
DTRD	TradeDate	Trade date does not match.
DELN	TransactionDirection	Direction of the trade does not match. Counterparty expects a delivery from you, not a receipt or vice versa.

5.4.5.5.2.2.1.2 Proprietary <Prtry>*Presence:* [1..1]*Definition:* Specifies the reason why the instruction has an unmatched status.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification30" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

5.4.5.5.2.2.2 AdditionalReasonInformation <AddtlRsnInf>*Presence:* [0..1]*Definition:* Provides additional reason information that cannot be provided in a structured field.*Datatype:* "Max210Text" on page 193

5.4.5.5.3 Proprietary <Prtry>*Presence:* [1..1]*Definition:* Proprietary status.**Proprietary <Prtry>** contains the following elements (see "[ProprietaryStatusAndReason6](#)" on page 168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		169
	ProprietaryReason <PrtryRsn>	[0..*]	±	C6	169

5.4.5.6 ProprietaryStatus <PrtrySts>*Presence:* [1..1]*Definition:* Proprietary status related to an instruction.**ProprietaryStatus <PrtrySts>** contains the following elements (see "[ProprietaryStatusAndReason6](#)" on page 168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		169
	ProprietaryReason <PrtryRsn>	[0..*]	±	C6	169

5.4.6 MarketClaimDetails <MktCImDtls>*Presence:* [0..1]*Definition:* Details of the market claim transaction for which a status is provided.*Impacted by:* [C16 "MovementDetailsRule"](#)

MarketClaimDetails <MktCldtIs> contains the following **CorporateActionOption185** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OptionNumber <OptnNb>	[1..1]	Text		73
	OptionType <OptnTp>	[1..1]	±		73
	SecuritiesMovementDetails <SctiesMvmntDtIs>	[0..*]			74
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C10, C11, C14, C15, C18	74
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		75
	EntitledQuantity <EntitldQty>	[1..1]	±		75
	PaymentDate <PmtDt>	[1..1]	±		76
	CashMovementDetails <CshMvmntDtIs>	[0..*]			76
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		76
	CashAccountIdentification <CshAcctId>	[0..1]	±		77
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C9	77
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C9	77
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C1, C9	78
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		78
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C9	79
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		79
	PaymentDate <PmtDt>	[1..1]	±		79

Constraints

- **MovementDetailsRule**

At least one occurrence of SecuritiesMovementDetails or CashMovementDetails must be present.

5.4.6.1 OptionNumber <OptnNb>

Presence: [1..1]

Definition: Number identifying the available corporate action options.

Datatype: "Exact3NumericText" on page 191

5.4.6.2 OptionType <OptnTp>

Presence: [1..1]

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

OptionType <OptnTp> contains one of the following elements (see "[CorporateActionOption30Choice](#)" on page 119 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		119
Or}	Proprietary <Prtry>	[1..1]	±		121

5.4.6.3 SecuritiesMovementDetails <SctiesMvmntDtls>

Presence: [0..*]

Definition: Provides information about securities movement related to a corporate action option.

SecuritiesMovementDetails <SctiesMvmntDtls> contains the following **SecuritiesOption76** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C10, C11, C14, C15, C18	74
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		75
	EntitledQuantity <EntitldQty>	[1..1]	±		75
	PaymentDate <PmtDt>	[1..1]	±		76

5.4.6.3.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identification of the financial instrument.

Impacted by: C10 "DescriptionPresenceRule", C11 "DescriptionUsageRule", C14 "ISINGuideline", C15 "ISINPresenceRule", C18 "OtherIdentificationPresenceRule"

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "[SecurityIdentification19](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		113
	OtherIdentification <OthrId>	[0..*]			113
	Identification <Id>	[1..1]	Text		114
	Suffix <Sfx>	[0..1]	Text		114
	Type <Tp>	[1..1]	±		114
	Description <Desc>	[0..1]	Text		114

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

5.4.6.3.2 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

Definition: Specifies whether the value is a debit or credit.

Datatype: "CreditDebitCode" on page 181

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

5.4.6.3.3 EntitledQuantity <EntitldQty>

Presence: [1..1]

Definition: Quantity of securities based on the terms of the corporate action event and balance of underlying securities entitled to the account owner. (This quantity can be positive or negative).

EntitledQuantity <EntitldQty> contains one of the following elements (see "[Quantity6Choice](#)" on page 115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		115
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		116

5.4.6.3.4 PaymentDate <PmtDt>

Presence: [1..1]

Definition: Date/time at which the movement is due to take place (cash and/or securities).

PaymentDate <PmtDt> contains one of the following elements (see "[DateFormat58Choice](#)" on page 105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DateOrDateTime <DtOrDtTm>	[1..1]	±		105
Or}	DateCode <DtCd>	[1..1]	CodeSet		105

5.4.6.4 CashMovementDetails <CshMvmntDtls>

Presence: [0..*]

Definition: Provides information about the cash movement linked to the corporate action option.

CashMovementDetails <CshMvmntDtls> contains the following **CashOption76** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		76
	CashAccountIdentification <CshAcctId>	[0..1]	±		77
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C9	77
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C9	77
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C1, C9	78
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		78
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C9	79
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		79
	PaymentDate <PmtDt>	[1..1]	±		79

5.4.6.4.1 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

Definition: Indicates whether the value is a debit or a credit.

Datatype: "[CreditDebitCode](#)" on page 181

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

5.4.6.4.2 CashAccountIdentification <CshAcctId>

Presence: [0..1]

Definition: Identification of the account in which cash is maintained.

CashAccountIdentification <CshAcctId> contains one of the following elements (see "CashAccountIdentification5Choice" on page 103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C10	103
Or}	Proprietary <Prtry>	[1..1]	Text		103

5.4.6.4.3 GrossCashAmount <GrssCshAmt>

Presence: [0..1]

Definition: Amount of money before any deductions and allowances have been made.

Impacted by: C1 "ActiveCurrency", C9 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 170

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

5.4.6.4.4 NetCashAmount <NetCshAmt>

Presence: [0..1]

Definition: Amount of money after deductions and allowances have been made, if any, that is, the total amount +/- charges/fees.

Impacted by: C1 "ActiveCurrency", C9 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 170

Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

5.4.6.4.5 EntitledAmount <EntitldAmt>

Presence: [0..1]

Definition: Cash amount based on the terms of the corporate action event and balance of underlying securities, entitled to/from account owner (which may be positive or negative).

Impacted by: C1 "ActiveCurrency", C9 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 170

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

5.4.6.4.6 WithholdingTaxRate <WhldgTaxRate>

Presence: [0..*]

Definition: Percentage of a cash distribution that will be withheld by the tax authorities of the jurisdiction of the issuer, for which a relief at source and/or reclaim may be possible.

WithholdingTaxRate <WhldgTaxRate> contains one of the following elements (see "RateAndAmountFormat40Choice" on page 149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		149
Or	Amount <Amt>	[1..1]	Amount	C1	149
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			150
	RateType <RateTp>	[1..1]			150
{Or	Code <Cd>	[1..1]	CodeSet		150
Or}	Proprietary <Prtry>	[1..1]	±		150
	Rate <Rate>	[1..1]	Rate		151

5.4.6.4.7 WithholdingTaxAmount <WhldgTaxAmt>*Presence:* [0..1]*Definition:* Amount of a cash distribution that will be withheld by the tax authorities of the jurisdiction of the issuer, for which a relief at source and/or reclaim may be possible.*Impacted by:* C1 "ActiveCurrency", C9 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 170**Constraints**

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

5.4.6.4.8 EarliestPaymentDate <EarlstPmtDt>*Presence:* [0..1]*Definition:* Date/time on which a payment can be made, for example, if the payment date is a non-business day or to indicate the first payment date of an offer.

EarliestPaymentDate <EarlstPmtDt> contains one of the following elements (see "[DateAndDateTime2Choice](#)" on page 105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		106
Or}	DateTime <DtTm>	[1..1]	DateTime		106

5.4.6.4.9 PaymentDate <PmtDt>*Presence:* [1..1]*Definition:* Date/time on which the movement is due to take place (cash and/or securities).

PaymentDate <PmtDt> contains one of the following elements (see "[DateFormat43Choice](#)" on page 103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		104
Or}	DateCode <DtCd>	[1..1]			104
{Or	Code <Cd>	[1..1]	CodeSet		104
Or}	Proprietary <Prtry>	[1..1]	±		104

5.4.7 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: C20 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "SupplementaryData1" on page 121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		121
	Envelope <Envlp>	[1..1]	(External Schema)		121

Constraints

- **SupplementaryDataRule**

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

6 **seev.053.001.01**

MarketClaimCancellationRequestStatusAdviceV01

6.1 **MessageDefinition Functionality**

Scope and Usage

The MarketClaimCancellationRequestStatusAdvice message is sent by an account servicer to an account holder to provide the status of a market claim transaction cancellation request.

This message definition is intended for use with the Business Application Header (BAH).

Outline

The MarketClaimCancellationRequestStatusAdviceV01 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MarketClaimCancellationRequestIdentification
Identification of the related market claim cancellation request document for which the status is provided.
- B. TransactionReference
References of the transaction for which the securities settlement condition modification is requested.
- C. CorporateActionGeneralInformation
General information about the corporate action event.
- D. MarketClaimCancellationRequestStatus
Status information about the processing of the market claim cancellation request.
- E. MarketClaimDetails
Detailed information about the related corporate action option and related movements to which the market claim is linked.
- F. SupplementaryData
Additional information that cannot be captured in the structured fields and/or any other specific block.

6.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <MktClnCxlReqStsAdv>	[1..1]			
	MarketClaimCancellationRequestIdentification <MktClnCxlReqId>	[1..1]	±		85
	TransactionReference <TxRef>	[1..1]			85
	AccountServicerTransactionIdentification <AcctSvcrTxId>	[1..1]	Text		86
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		86
	ProcessorTransactionIdentification <PrctrTxId>	[0..1]	Text		86
	CorporateActionGeneralInformation <CorpActnGnlInf>	[1..1]		C15	86
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		87
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		87
	EventType <EvtTp>	[1..1]	±	C10	87
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C8, C9, C12, C13, C16	87
	MarketClaimCancellationRequestStatus <MktClnCxlReqSts>	[1..1]			88
{Or	CancellationCompleted <CxlCmpltd>	[1..1]	±		89
Or	Accepted <Accptd>	[1..1]	±		90
Or	Rejected <Rjctd>	[1..1]			90
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		90
Or}	Reason <Rsn>	[1..*]		C4	90
	ReasonCode <RsnCd>	[1..1]			91
{Or	Code <Cd>	[1..1]	CodeSet		91
Or}	Proprietary <Prtry>	[1..1]	±		92
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		92
Or	PendingCancellation <PdgCxl>	[1..1]			92
{Or	NotSpecifiedReason <NotSpctdRsn>	[1..1]	CodeSet		92
Or}	Reason <Rsn>	[1..*]		C1, C5	93
	ReasonCode <RsnCd>	[1..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	±		94

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		94
Or}	ProprietaryStatus <PrtrySts>	[1..1]	±		94
	MarketClaimDetails <MktCldMntDtls>	[0..1]		C14	94
	OptionNumber <OptnNb>	[1..1]	Text		95
	OptionType <OptnTp>	[1..1]	±		95
	SecuritiesMovementDetails <SctiesMvmntDtls>	[0..*]			96
	FinancialInstrumentIdentification <FinInstrmld>	[1..1]	±	C8, C9, C12, C13, C16	96
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		97
	EntitledQuantity <EntitldQty>	[1..1]	±		97
	PaymentDate <PmtDt>	[1..1]	±		98
	CashMovementDetails <CshMvmntDtls>	[0..*]			98
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		98
	CashAccountIdentification <CshAcctld>	[0..1]	±		99
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C2, C7	99
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C2, C7	99
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C2, C7	100
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		100
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C2, C7	101
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		101
	PaymentDate <PmtDt>	[1..1]	±		101
	SupplementaryData <SplmtryData>	[0..*]	±	C17	102

6.3 Constraints

C1 AccountServicerDeadlineMissedGuideline

When ReasonCode/Code is ADEA (Account Servicer Deadline Missed), the instruction is assumed to be processed "on a best effort basis" by the account servicer.

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 AdditionalReasonInformationRule

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

C4 AdditionalReasonInformationRule

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

C5 AdditionalReasonInformationRule

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

C6 AdditionalReasonInformationRule

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

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 DescriptionPresenceRule

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

C9 DescriptionUsageRule

Description must be used alone as the last resort.

C10 EventTypeRule

If Code is present, the code OTHR must only be used in case no other corporate action event code is appropriate.

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

If Code is present, the code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

C11 IBAN

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

C12 ISINGuideline

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

C13 ISINPresenceRule

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

C14 MovementDetailsRule

At least one occurrence of SecuritiesMovementDetails or CashMovementDetails must be present.

C15 OfficialCorporateActionEventReferenceGuideline

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are available in the SMPG Global Market Practices Part 1 document on www.smpg.info.

C16 OtherIdentificationPresenceRule

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

C17 SupplementaryDataRule

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

6.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

6.4.1 MarketClaimCancellationRequestIdentification <MktCImCxlReqId>

Presence: [1..1]

Definition: Identification of the related market claim cancellation request document for which the status is provided.

MarketClaimCancellationRequestIdentification <MktCImCxlReqId> contains the following elements (see "[DocumentIdentification9](#)" on page 119 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		119

6.4.2 TransactionReference <TxRef>

Presence: [1..1]

Definition: References of the transaction for which the securities settlement condition modification is requested.

TransactionReference <TxRef> contains the following **References26** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountServicerTransactionIdentification <AcctSvcrTxId>	[1..1]	Text		86
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		86
	ProcessorTransactionIdentification <PrctrTxId>	[0..1]	Text		86

6.4.2.1 AccountServicerTransactionIdentification <AcctSvcrTxld>*Presence:* [1..1]*Definition:* Unambiguous identification of the transaction as known by the account servicer.*Datatype:* "Max35Text" on page 193**6.4.2.2 MarketInfrastructureTransactionIdentification <MktlnfrstrctrTxld>***Presence:* [0..1]*Definition:* Identification of a transaction assigned by a market infrastructure other than a central securities depository, for example, Target2-Securities.*Datatype:* "Max35Text" on page 193**6.4.2.3 ProcessorTransactionIdentification <PrctrTxld>***Presence:* [0..1]*Definition:* Identification of the transaction assigned by the processor of the transaction other than the account holder, the account servicer and the non-CSD market infrastructure.*Datatype:* "Max35Text" on page 193**6.4.3 CorporateActionGeneralInformation
<CorpActnGnlInf>***Presence:* [1..1]*Definition:* General information about the corporate action event.*Impacted by:* C15 "OfficialCorporateActionEventReferenceGuideline"**CorporateActionGeneralInformation <CorpActnGnlInf>** contains the following
CorporateActionGeneralInformation157 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification <CorpActnEvtld>	[1..1]	Text		87
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtld>	[0..1]	Text		87
	EventType <EvtTp>	[1..1]	±	C10	87
	FinancialInstrumentIdentification <FinInstrmld>	[0..1]	±	C8, C9, C12, C13, C16	87

Constraints

- OfficialCorporateActionEventReferenceGuideline**

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

recommendations are available in the SMPG Global Market Practices Part 1 document on www.smpg.info.

6.4.3.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 193

6.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

Presence: [0..1]

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

Datatype: "Max35Text" on page 193

6.4.3.3 EventType <EvtTp>

Presence: [1..1]

Definition: Type of corporate action event.

Impacted by: C10 "EventTypeRule"

EventType <EvtTp> contains one of the following elements (see "CorporateActionEventType85Choice" on page 122 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		122
Or}	Proprietary <Prtry>	[1..1]	±		128

Constraints

- **EventTypeRule**

If Code is present, the code OTHR must only be used in case no other corporate action event code is appropriate.

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

If Code is present, the code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

6.4.3.4 FinancialInstrumentIdentification <FinInstrmId>

Presence: [0..1]

Definition: Identification of a financial instrument.

Impacted by: C8 "DescriptionPresenceRule", C9 "DescriptionUsageRule", C12 "ISINGuideline", C13 "ISINPresenceRule", C16 "OtherIdentificationPresenceRule"

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		113
	OtherIdentification <OthrId>	[0..*]			113
	Identification <Id>	[1..1]	Text		114
	Suffix <Sfx>	[0..1]	Text		114
	Type <Tp>	[1..1]	±		114
	Description <Desc>	[0..1]	Text		114

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

6.4.4 MarketClaimCancellationRequestStatus <MktCImCxlReqSts>

Presence: [1..1]

Definition: Status information about the processing of the market claim cancellation request.

MarketClaimCancellationRequestStatus <MktCmCxlReqSts> contains one of the following **MarketClaimCancellationRequestStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CancellationCompleted <CxlCmpltd>	[1..1]	±		89
Or	Accepted <Accptd>	[1..1]	±		90
Or	Rejected <Rjctd>	[1..1]			90
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		90
Or}	Reason <Rsn>	[1..*]		C4	90
	ReasonCode <RsnCd>	[1..1]			91
{Or	Code <Cd>	[1..1]	CodeSet		91
Or}	Proprietary <Prtry>	[1..1]	±		92
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		92
Or	PendingCancellation <PdgCxl>	[1..1]			92
{Or	NotSpecifiedReason <NotSpctdRsn>	[1..1]	CodeSet		92
Or}	Reason <Rsn>	[1..*]		C1, C5	93
	ReasonCode <RsnCd>	[1..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	±		94
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		94
Or}	ProprietaryStatus <PrtrySts>	[1..1]	±		94

6.4.4.1 CancellationCompleted <CxlCmpltd>

Presence: [1..1]

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

CancellationCompleted <CxlCmpltd> contains one of the following elements (see "CancelledStatus11Choice" on page 163 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		163
Or}	Reason <Rsn>	[1..*]		C3	163
	ReasonCode <RsnCd>	[1..1]			164
{Or	Code <Cd>	[1..1]	CodeSet		164
Or}	Proprietary <Prtry>	[1..1]	±		164
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		164

6.4.4.2 Accepted <Accptd>*Presence:* [1..1]*Definition:* Provides status information related to a cancellation request accepted for further processing.**Accepted <Accptd>** contains the following elements (see "[NoSpecifiedReason1](#)" on page 162 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		162

6.4.4.3 Rejected <Rjctd>*Presence:* [1..1]*Definition:* Provides status information related to a cancellation request rejected for further processing due to system (data) reasons.**Rejected <Rjctd>** contains one of the following **RejectedStatus38Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		90
Or}	Reason <Rsn>	[1..*]		C4	90
	ReasonCode <RsnCd>	[1..1]			91
{Or	Code <Cd>	[1..1]	CodeSet		91
Or}	Proprietary <Prtry>	[1..1]	±		92
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		92

6.4.4.3.1 NoSpecifiedReason <NoSpctdRsn>*Presence:* [1..1]*Definition:* Reason not specified.*Datatype:* "[NoReasonCode](#)" on page 183

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

6.4.4.3.2 Reason <Rsn>*Presence:* [1..*]*Definition:* Reason for the rejected status.*Impacted by:* [C4 "AdditionalReasonInformationRule"](#)

Reason <Rsn> contains the following **RejectedStatusReason36** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			91
{Or	Code <Cd>	[1..1]	CodeSet		91
Or}	Proprietary <Prtry>	[1..1]	±		92
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		92

Constraints

- **AdditionalReasonInformationRule**

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

6.4.4.3.2.1 ReasonCode <RsnCd>

Presence: [1..1]

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

ReasonCode <RsnCd> contains one of the following **RejectedReason38Choice** elements

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

6.4.4.3.2.1.1 Code <Cd>

Presence: [1..1]

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

Datatype: "RejectionReason61Code" on page 186

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
ULNK	InvalidReference	Linked reference is unknown.
LATE	MarketDeadlineMissed	Received after market deadline.
OTHR	Other	Other. See Narrative.
DCAN	RejectedSinceAlreadyCancelled	Cancellation request was rejected since the instruction has already been cancelled.
DSET	DeniedSinceAlreadySettled	Cancellation request was denied because the instruction was already settled.
DPRG	RejectedSinceInProgress	Cancellation request has been rejected because the instruction process is in progress or has been processed.

6.4.4.3.2.1.2 Proprietary <Prtry>*Presence:* [1..1]*Definition:* Proprietary identification of the reason why the instruction/cancellation request has a rejected status.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

6.4.4.3.2.2 AdditionalReasonInformation <AddtlRsnInf>*Presence:* [0..1]*Definition:* Provides additional information about the processed instruction.*Datatype:* "[Max210Text](#)" on page 193**6.4.4.4 PendingCancellation <PdgCxl>***Presence:* [1..1]*Definition:* Provides status information related to a pending cancellation request.**PendingCancellation <PdgCxl>** contains one of the following **PendingCancellationStatus11Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NotSpecifiedReason <NotSpcfdRsn>	[1..1]	CodeSet		92
Or}	Reason <Rsn>	[1..*]		C1, C5	93
	ReasonCode <RsnCd>	[1..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	±		94
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		94

6.4.4.4.1 NotSpecifiedReason <NotSpcfdRsn>*Presence:* [1..1]*Definition:* Reason not specified.*Datatype:* "[NoReasonCode](#)" on page 183

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

6.4.4.4.2 Reason <Rsn>*Presence:* [1..*]*Definition:* Reason for the pending cancellation status.*Impacted by:* C1 "AccountServicerDeadlineMissedGuideline", C5 "AdditionalReasonInformationRule"**Reason <Rsn>** contains the following **PendingCancellationStatusReason11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	±		94
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		94

Constraints

- **AccountServicerDeadlineMissedGuideline**

When ReasonCode/Code is ADEA (Account Servicer Deadline Missed), the instruction is assumed to be processed "on a best effort basis" by the account servicer.

- **AdditionalReasonInformationRule**

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

6.4.4.4.2.1 ReasonCode <RsnCd>*Presence:* [1..1]*Definition:* Specifies the reason why the cancellation request is pending.**ReasonCode <RsnCd>** contains one of the following **PendingCancellationReason8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	±		94

6.4.4.4.2.1.1 Code <Cd>*Presence:* [1..1]*Definition:* Standard code to specify the reason why a cancellation request sent for the related instruction is pending.*Datatype:* "PendingCancellationReason7Code" on page 184

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Instruction was received after the account servicer's deadline. Processed on best effort basis.
CONF	AwaitingConfirmation	Awaiting confirmation from the counterparty.

CodeName	Name	Definition
OTHR	Other	Other. See Narrative.

6.4.4.4.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the reason why a cancellation request sent for the related instruction is pending.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

6.4.4.4.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "[Max210Text](#)" on page 193

6.4.4.5 ProprietaryStatus <PrtrySts>

Presence: [1..1]

Definition: Proprietary status related to an instruction cancellation request.

ProprietaryStatus <PrtrySts> contains the following elements (see "[ProprietaryStatusAndReason6](#)" on page 168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		169
	ProprietaryReason <PrtryRsn>	[0..*]	±	C6	169

6.4.5 MarketClaimDetails <MktCImDtls>

Presence: [0..1]

Definition: Detailed information about the related corporate action option and related movements to which the market claim is linked.

Impacted by: [C14 "MovementDetailsRule"](#)

MarketClaimDetails <MktCldtIs> contains the following **CorporateActionOption185** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OptionNumber <OptnNb>	[1..1]	Text		95
	OptionType <OptnTp>	[1..1]	±		95
	SecuritiesMovementDetails <SctiesMvmntDtIs>	[0..*]			96
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C8, C9, C12, C13, C16	96
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		97
	EntitledQuantity <EntitldQty>	[1..1]	±		97
	PaymentDate <PmtDt>	[1..1]	±		98
	CashMovementDetails <CshMvmntDtIs>	[0..*]			98
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		98
	CashAccountIdentification <CshAcctId>	[0..1]	±		99
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C2, C7	99
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C2, C7	99
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C2, C7	100
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		100
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C2, C7	101
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		101
	PaymentDate <PmtDt>	[1..1]	±		101

Constraints

- **MovementDetailsRule**

At least one occurrence of SecuritiesMovementDetails or CashMovementDetails must be present.

6.4.5.1 OptionNumber <OptnNb>

Presence: [1..1]

Definition: Number identifying the available corporate action options.

Datatype: "Exact3NumericText" on page 191

6.4.5.2 OptionType <OptnTp>

Presence: [1..1]

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

OptionType <OptnTp> contains one of the following elements (see "[CorporateActionOption30Choice](#)" on page 119 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		119
Or}	Proprietary <Prtry>	[1..1]	±		121

6.4.5.3 SecuritiesMovementDetails <SctiesMvmntDtls>

Presence: [0..*]

Definition: Provides information about securities movement related to a corporate action option.

SecuritiesMovementDetails <SctiesMvmntDtls> contains the following **SecuritiesOption76** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C8, C9, C12, C13, C16	96
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		97
	EntitledQuantity <EntitldQty>	[1..1]	±		97
	PaymentDate <PmtDt>	[1..1]	±		98

6.4.5.3.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identification of the financial instrument.

Impacted by: [C8 "DescriptionPresenceRule"](#), [C9 "DescriptionUsageRule"](#), [C12 "ISINGuideline"](#), [C13 "ISINPresenceRule"](#), [C16 "OtherIdentificationPresenceRule"](#)

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "[SecurityIdentification19](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		113
	OtherIdentification <OthrId>	[0..*]			113
	Identification <Id>	[1..1]	Text		114
	Suffix <Sfx>	[0..1]	Text		114
	Type <Tp>	[1..1]	±		114
	Description <Desc>	[0..1]	Text		114

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

6.4.5.3.2 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

Definition: Specifies whether the value is a debit or credit.

Datatype: "CreditDebitCode" on page 181

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

6.4.5.3.3 EntitledQuantity <EntitldQty>

Presence: [1..1]

Definition: Quantity of securities based on the terms of the corporate action event and balance of underlying securities entitled to the account owner. (This quantity can be positive or negative).

EntitledQuantity <EntitldQty> contains one of the following elements (see "[Quantity6Choice](#)" on page 115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		115
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		116

6.4.5.3.4 PaymentDate <PmtDt>

Presence: [1..1]

Definition: Date/time at which the movement is due to take place (cash and/or securities).

PaymentDate <PmtDt> contains one of the following elements (see "[DateFormat58Choice](#)" on page 105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DateOrDateTime <DtOrDtTm>	[1..1]	±		105
Or}	DateCode <DtCd>	[1..1]	CodeSet		105

6.4.5.4 CashMovementDetails <CshMvmntDtls>

Presence: [0..*]

Definition: Provides information about the cash movement linked to the corporate action option.

CashMovementDetails <CshMvmntDtls> contains the following **CashOption76** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		98
	CashAccountIdentification <CshAcctId>	[0..1]	±		99
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C2, C7	99
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C2, C7	99
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C2, C7	100
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		100
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C2, C7	101
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		101
	PaymentDate <PmtDt>	[1..1]	±		101

6.4.5.4.1 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

Definition: Indicates whether the value is a debit or a credit.

Datatype: "[CreditDebitCode](#)" on page 181

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

6.4.5.4.2 CashAccountIdentification <CshAcctId>

Presence: [0..1]

Definition: Identification of the account in which cash is maintained.

CashAccountIdentification <CshAcctId> contains one of the following elements (see "CashAccountIdentification5Choice" on page 103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C10	103
Or}	Proprietary <Prtry>	[1..1]	Text		103

6.4.5.4.3 GrossCashAmount <GrssCshAmt>

Presence: [0..1]

Definition: Amount of money before any deductions and allowances have been made.

Impacted by: C2 "ActiveCurrency", C7 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 170

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

6.4.5.4.4 NetCashAmount <NetCshAmt>

Presence: [0..1]

Definition: Amount of money after deductions and allowances have been made, if any, that is, the total amount +/- charges/fees.

Impacted by: C2 "ActiveCurrency", C7 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 170

Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

6.4.5.4.5 EntitledAmount <EntitldAmt>

Presence: [0..1]

Definition: Cash amount based on the terms of the corporate action event and balance of underlying securities, entitled to/from account owner (which may be positive or negative).

Impacted by: C2 "ActiveCurrency", C7 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 170

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

6.4.5.4.6 WithholdingTaxRate <WhldgTaxRate>

Presence: [0..*]

Definition: Percentage of a cash distribution that will be withheld by the tax authorities of the jurisdiction of the issuer, for which a relief at source and/or reclaim may be possible.

WithholdingTaxRate <WhldgTaxRate> contains one of the following elements (see "RateAndAmountFormat40Choice" on page 149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		149
Or	Amount <Amt>	[1..1]	Amount	C1	149
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			150
	RateType <RateTp>	[1..1]			150
{Or	Code <Cd>	[1..1]	CodeSet		150
Or}	Proprietary <Prtry>	[1..1]	±		150
	Rate <Rate>	[1..1]	Rate		151

6.4.5.4.7 WithholdingTaxAmount <WhldgTaxAmt>*Presence:* [0..1]*Definition:* Amount of a cash distribution that will be withheld by the tax authorities of the jurisdiction of the issuer, for which a relief at source and/or reclaim may be possible.*Impacted by:* C2 "ActiveCurrency", C7 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 170**Constraints**

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

6.4.5.4.8 EarliestPaymentDate <EarlstPmtDt>*Presence:* [0..1]*Definition:* Date/time on which a payment can be made, for example, if the payment date is a non-business day or to indicate the first payment date of an offer.

EarliestPaymentDate <EarlstPmtDt> contains one of the following elements (see "DateAndDateTime2Choice" on page 105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		106
Or}	DateTime <DtTm>	[1..1]	DateTime		106

6.4.5.4.9 PaymentDate <PmtDt>*Presence:* [1..1]*Definition:* Date/time on which the movement is due to take place (cash and/or securities).

PaymentDate <PmtDt> contains one of the following elements (see "DateFormat43Choice" on page 103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		104
Or}	DateCode <DtCd>	[1..1]			104
{Or	Code <Cd>	[1..1]	CodeSet		104
Or}	Proprietary <Prtry>	[1..1]	±		104

6.4.6 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: C17 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "SupplementaryData1" on page 121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		121
	Envelope <Envlp>	[1..1]	(External Schema)		121

Constraints

- **SupplementaryDataRule**

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

7 Message Items Types

7.1 MessageComponents

7.1.1 Account Identification

7.1.1.1 CashAccountIdentification5Choice

Definition: Unique identifier of an account, as assigned by the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C10	103
Or}	Proprietary <Prtry>	[1..1]	Text		103

7.1.1.1.1 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: C10 "IBAN"

Datatype: "IBAN2007Identifier" on page 190

Constraints

- **IBAN**

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

7.1.1.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Unique identifier for an account. It is assigned by the account servicer using a proprietary identification scheme.

Datatype: "Max34Text" on page 193

7.1.2 Date Time

7.1.2.1 DateFormat43Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		104
Or}	DateCode <DtCd>	[1..1]			104
{Or	Code <Cd>	[1..1]	CodeSet		104
Or}	Proprietary <Prtry>	[1..1]	±		104

7.1.2.1.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Date <Dt> contains one of the following elements (see ["DateAndDateTime2Choice"](#) on page 105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		106
Or}	DateTime <DtTm>	[1..1]	DateTime		106

7.1.2.1.2 DateCode <DtCd>

Presence: [1..1]

Definition: Specifies the type of date.

DateCode <DtCd> contains one of the following **DateCode19Choice** elements

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

7.1.2.1.2.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of date.

Datatype: ["DateType8Code"](#) on page 181

CodeName	Name	Definition
UKWN	Unknown	Date is unknown by the sender or has not been established.
ONGO	Ongoing	Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau".

7.1.2.1.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

7.1.2.2 DateFormat58Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DateOrDateTime <DtOrDtTm>	[1..1]	±		105
Or}	DateCode <DtCd>	[1..1]	CodeSet		105

7.1.2.2.1 DateOrDateTime <DtOrDtTm>

Presence: [1..1]

Definition: Date expressed as a calendar date.

DateOrDateTime <DtOrDtTm> contains one of the following elements (see "[DateAndDateTime2Choice](#)" on page 105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		106
Or}	DateTime <DtTm>	[1..1]	DateTime		106

7.1.2.2.2 DateCode <DtCd>

Presence: [1..1]

Definition: Type of date.

Datatype: "[DateType1Code](#)" on page 181

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

7.1.2.3 DateAndDateTime2Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		106
Or}	DateTime <DtTm>	[1..1]	DateTime		106

7.1.2.3.1 Date <Dt>*Presence:* [1..1]*Definition:* Specified date.*Datatype:* "ISODate" on page 188**7.1.2.3.2 DateTime <DtTm>***Presence:* [1..1]*Definition:* Specified date and time.*Datatype:* "ISODatetime" on page 188**7.1.3 Financial Institution Identification****7.1.3.1 ClearingSystemMemberIdentification2***Definition:* Unique identification, as assigned by a clearing system, to unambiguously identify a member of the clearing system.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemIdentification <ClrSysId>	[0..1]	±		106
	MemberIdentification <Mmbld>	[1..1]	Text		106

7.1.3.1.1 ClearingSystemIdentification <ClrSysId>*Presence:* [0..1]*Definition:* Specification of a pre-agreed offering between clearing agents or the channel through which the payment instruction is processed.**ClearingSystemIdentification <ClrSysId>** contains one of the following elements (see "ClearingSystemIdentification2Choice" on page 169 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		170
Or}	Proprietary <Prtry>	[1..1]	Text		170

7.1.3.1.2 MemberIdentification <Mmbld>*Presence:* [1..1]*Definition:* Identification of a member of a clearing system.*Datatype:* "Max35Text" on page 193**7.1.3.2 FinancialInstitutionIdentification18***Definition:* Specifies the details to identify a financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C2	107
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		107
	LEI <LEI>	[0..1]	IdentifierSet		107
	Name <Nm>	[0..1]	Text		107
	PostalAddress <PstlAdr>	[0..1]	±		108
	Other <Othr>	[0..1]	±		108

7.1.3.2.1 BICFI <BICFI>

Presence: [0..1]

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

Impacted by: C2 "BICFI"

Datatype: "BICFIDec2014Identifier" on page 189

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.

7.1.3.2.2 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [0..1]

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

ClearingSystemMemberIdentification <ClrSysMmbld> contains the following elements (see "ClearingSystemMemberIdentification2" on page 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemIdentification <ClrSysId>	[0..1]	±		106
	MemberIdentification <Mmbld>	[1..1]	Text		106

7.1.3.2.3 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identifier of the financial institution.

Datatype: "LEIIdentifier" on page 190

7.1.3.2.4 Name <Nm>

Presence: [0..1]

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

Datatype: "Max140Text" on page 192

7.1.3.2.5 PostalAddress <PstlAdr>*Presence:* [0..1]*Definition:* Information that locates and identifies a specific address, as defined by postal services.**PostalAddress <PstlAdr>** contains the following elements (see "PostalAddress24" on page 143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			144
{Or	Code <Cd>	[1..1]	CodeSet		144
Or}	Proprietary <Prtry>	[1..1]	±		145
	Department <Dept>	[0..1]	Text		145
	SubDepartment <SubDept>	[0..1]	Text		145
	StreetName <StrtNm>	[0..1]	Text		145
	BuildingNumber <BldgNb>	[0..1]	Text		145
	BuildingName <BldgNm>	[0..1]	Text		146
	Floor <Flr>	[0..1]	Text		146
	PostBox <PstBx>	[0..1]	Text		146
	Room <Room>	[0..1]	Text		146
	PostCode <PstCd>	[0..1]	Text		146
	TownName <TwnNm>	[0..1]	Text		146
	TownLocationName <TwnLctnNm>	[0..1]	Text		146
	DistrictName <DstrctNm>	[0..1]	Text		146
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		147
	Country <Ctry>	[0..1]	CodeSet	C3	147
	AddressLine <AdrLine>	[0..7]	Text		147

7.1.3.2.6 Other <Othr>*Presence:* [0..1]*Definition:* Unique identification of an agent, as assigned by an institution, using an identification scheme.

Other <Othr> contains the following elements (see "[GenericFinancialIdentification1](#)" on page 111 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		111
	SchemeName <SchmeNm>	[0..1]			112
{Or	Code <Cd>	[1..1]	CodeSet		112
Or}	Proprietary <Prtry>	[1..1]	Text		112
	Issuer <Issr>	[0..1]	Text		112

7.1.3.3 BranchData3

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		109
	LEI <LEI>	[0..1]	IdentifierSet		109
	Name <Nm>	[0..1]	Text		109
	PostalAddress <PstlAdr>	[0..1]	±		109

7.1.3.3.1 Identification <Id>

Presence: [0..1]

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

Datatype: "[Max35Text](#)" on page 193

7.1.3.3.2 LEI <LEI>

Presence: [0..1]

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

Datatype: "[LEIIdentifier](#)" on page 190

7.1.3.3.3 Name <Nm>

Presence: [0..1]

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

Datatype: "[Max140Text](#)" on page 192

7.1.3.3.4 PostalAddress <PstlAdr>

Presence: [0..1]

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

PostalAddress <PstIAdr> contains the following elements (see "PostalAddress24" on page 143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			144
{Or	Code <Cd>	[1..1]	CodeSet		144
Or}	Proprietary <Prtry>	[1..1]	±		145
	Department <Dept>	[0..1]	Text		145
	SubDepartment <SubDept>	[0..1]	Text		145
	StreetName <StrtNm>	[0..1]	Text		145
	BuildingNumber <BldgNb>	[0..1]	Text		145
	BuildingName <BldgNm>	[0..1]	Text		146
	Floor <Flr>	[0..1]	Text		146
	PostBox <PstBx>	[0..1]	Text		146
	Room <Room>	[0..1]	Text		146
	PostCode <PstCd>	[0..1]	Text		146
	TownName <TwnNm>	[0..1]	Text		146
	TownLocationName <TwnLctnNm>	[0..1]	Text		146
	DistrictName <DstrctNm>	[0..1]	Text		146
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		147
	Country <Ctry>	[0..1]	CodeSet	C3	147
	AddressLine <AdrLine>	[0..7]	Text		147

7.1.3.4 BranchAndFinancialInstitutionIdentification6

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		110
	BranchIdentification <BrnchId>	[0..1]	±		111

7.1.3.4.1 FinancialInstitutionIdentification <FinInstnId>

Presence: [1..1]

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

FinancialInstitutionIdentification <FinInstnId> contains the following elements (see "FinancialInstitutionIdentification18" on page 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C2	107
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		107
	LEI <LEI>	[0..1]	IdentifierSet		107
	Name <Nm>	[0..1]	Text		107
	PostalAddress <PstlAdr>	[0..1]	±		108
	Other <Othr>	[0..1]	±		108

7.1.3.4.2 BranchIdentification <BrnchId>

Presence: [0..1]

Definition: Identifies a specific branch of a financial institution.

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

BranchIdentification <BrnchId> contains the following elements (see "BranchData3" on page 109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		109
	LEI <LEI>	[0..1]	IdentifierSet		109
	Name <Nm>	[0..1]	Text		109
	PostalAddress <PstlAdr>	[0..1]	±		109

7.1.3.5 GenericFinancialIdentification1

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		111
	SchemeName <SchmeNm>	[0..1]			112
{Or	Code <Cd>	[1..1]	CodeSet		112
Or}	Proprietary <Prtry>	[1..1]	Text		112
	Issuer <Issr>	[0..1]	Text		112

7.1.3.5.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification of a person.

Datatype: "Max35Text" on page 193

7.1.3.5.2 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Name of the identification scheme.

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

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

7.1.3.5.2.1 Code <Cd>

Presence: [1..1]

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

Datatype: "ExternalFinancialInstitutionIdentification1Code" on page 182

7.1.3.5.2.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: "Max35Text" on page 193

7.1.3.5.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 193

7.1.4 Financial Instrument

7.1.4.1 SecurityIdentification19

Definition: Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		113
	OtherIdentification <OthrId>	[0..*]			113
	Identification <Id>	[1..1]	Text		114
	Suffix <Sfx>	[0..1]	Text		114
	Type <Tp>	[1..1]	±		114
	Description <Desc>	[0..1]	Text		114

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

7.1.4.1.1 ISIN <ISIN>

Presence: [0..1]

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

Datatype: "ISINOct2015Identifier" on page 190

7.1.4.1.2 OtherIdentification <Othrid>

Presence: [0..*]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Suffix <Sfx>	[0..1]	Text		114
	Type <Tp>	[1..1]	±		114

7.1.4.1.2.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security.

Datatype: "Max35Text" on page 193

7.1.4.1.2.2 Suffix <Sfx>

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: "Max16Text" on page 192

7.1.4.1.2.3 Type <Tp>

Presence: [1..1]

Definition: Type of the identification.

Type <Tp> contains one of the following elements (see "IdentificationSource3Choice" on page 116 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		116
Or}	Proprietary <Prtry>	[1..1]	Text		116

7.1.4.1.3 Description <Desc>

Presence: [0..1]

Definition: Textual description of a security instrument.

Datatype: "Max140Text" on page 192

7.1.5 Financial Instrument Quantity

7.1.5.1 FinancialInstrumentQuantity1Choice

Definition: Choice between formats for the quantity of security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		115
Or	FaceAmount <FaceAmt>	[1..1]	Amount		115
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		115

7.1.5.1.1 Unit <Unit>

Presence: [1..1]

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

Datatype: "DecimalNumber" on page 191

7.1.5.1.2 FaceAmount <FaceAmt>

Presence: [1..1]

Definition: Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.

Datatype: "ImpliedCurrencyAndAmount" on page 171

7.1.5.1.3 AmortisedValue <AmtsdVal>

Presence: [1..1]

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

Datatype: "ImpliedCurrencyAndAmount" on page 171

7.1.5.2 Quantity6Choice

Definition: Choice of format for the quantity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		115
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		116

7.1.5.2.1 Quantity <Qty>

Presence: [1..1]

Definition: Quantity of financial instrument in units, original face amount or current face amount.

Quantity <Qty> contains one of the following elements (see "FinancialInstrumentQuantity1Choice" on page 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		115
Or	FaceAmount <FaceAmt>	[1..1]	Amount		115
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		115

7.1.5.2.2 OriginalAndCurrentFace <OrgnlAndCurFace>

Presence: [1..1]

Definition: Original and current value of an asset-back instrument.

OriginalAndCurrentFace <OrgnlAndCurFace> contains the following elements (see "OriginalAndCurrentQuantities1" on page 154 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FaceAmount <FaceAmt>	[1..1]	Amount		154
	AmortisedValue <AmtsdVal>	[1..1]	Amount		154

7.1.6 Identification Information

7.1.6.1 IdentificationSource3Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		116
Or}	Proprietary <Prtry>	[1..1]	Text		116

7.1.6.1.1 Code <Cd>

Presence: [1..1]

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

Datatype: "ExternalFinancialInstrumentIdentificationType1Code" on page 182

7.1.6.1.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: "Max35Text" on page 193

7.1.6.2 GenericIdentification78

Definition: Identification expressed as a proprietary type and narrative description.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		116
	Identification <Id>	[0..1]	Text		117

7.1.6.2.1 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 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

7.1.6.2.2 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 193

7.1.6.3 IdentificationType42Choice

Definition: Choice between a code and a data source scheme to specify the type of alternate identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		117
Or}	Proprietary <Prtry>	[1..1]	±		117

7.1.6.3.1 Code <Cd>

Presence: [1..1]

Definition: Type of identification is defined using a code.

Datatype: "TypeOfIdentification1Code" on page 187

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.

7.1.6.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of identification is defined using a data source scheme.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

7.1.6.4 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		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

7.1.6.4.1 Identification <Id>

Presence: [1..1]

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

Datatype: "[Exact4AlphaNumericText](#)" on page 192

7.1.6.4.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: "[Max35Text](#)" on page 193

7.1.6.4.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: "[Max35Text](#)" on page 193

7.1.6.5 GenericIdentification36

Definition: Identification using a proprietary scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		119
	Issuer <Issr>	[1..1]	Text		119
	SchemeName <SchmeNm>	[0..1]	Text		119

7.1.6.5.1 Identification <Id>*Presence:* [1..1]*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.*Datatype:* "Max35Text" on page 193**7.1.6.5.2 Issuer <Issr>***Presence:* [1..1]*Definition:* Entity that assigns the identification.*Datatype:* "Max35Text" on page 193**7.1.6.5.3 SchemeName <SchmeNm>***Presence:* [0..1]*Definition:* Short textual description of the scheme.*Datatype:* "Max35Text" on page 193**7.1.6.6 DocumentIdentification9***Definition:* Identifies a document by a unique identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		119

7.1.6.6.1 Identification <Id>*Presence:* [1..1]*Definition:* Identifies the document.*Datatype:* "Max35Text" on page 193**7.1.7 Market****7.1.7.1 CorporateActionOption30Choice***Definition:* Choice between a standard code or a proprietary code to specify the type of corporate action options.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		119
Or}	Proprietary <Prtry>	[1..1]	±		121

7.1.7.1.1 Code <Cd>*Presence:* [1..1]*Definition:* Standard code to specify the type of corporate action options.*Datatype:* "CorporateActionOption11Code" on page 179

CodeName	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting. If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).
BUYA	BuyUp	Buy additional securities to round up position.
CASE	CashAndSecurity	Option to choose between different security and cash options.
CASH	Cash	Option to choose cash.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a puttable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
NOQU	NonQualifiedInvestor	Account owner is a non-qualified investor.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
QINV	QualifiedInvestor	Account owner is a qualified investor.
SECU	Security	Distribution of securities to holders.

CodeName	Name	Definition
SLLE	SellEntitlement	Sell the intermediate securities.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.

7.1.7.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of corporate action options.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

7.1.8 Miscellaneous

7.1.8.1 SupplementaryData1

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		121
	Envelope <Envlp>	[1..1]	(External Schema)		121

Constraints

- **SupplementaryDataRule**

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

7.1.8.1.1 PlaceAndName <PlcAndNm>

Presence: [0..1]

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

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

Datatype: "[Max350Text](#)" on page 193

7.1.8.1.2 Envelope <Envlp>

Presence: [1..1]

Definition: Technical element wrapping the supplementary data.

Type: (External Schema)

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

7.1.8.2 CorporateActionEventType85Choice

Definition: Choice between formats to express the corporate event type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		122
Or}	Proprietary <Prtry>	[1..1]	±		128

Constraints

- **EventTypeRule**

If Code is present, the code OTHR must only be used in case no other corporate action event code is appropriate.

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

If Code is present, the code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

7.1.8.2.1 Code <Cd>

Presence: [1..1]

Definition: Event types expressed as a code.

Datatype: "CorporateActionEventType29Code" on page 173

CodeName	Name	Definition
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading.
ATTI	Attachment	Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention.
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.

CodeName	Name	Definition
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHD). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
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.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company.

CodeName	Name	Definition
		As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of

CodeName	Name	Definition
		the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.

CodeName	Name	Definition
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.

CodeName	Name	Definition
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.

CodeName	Name	Definition
TREC	TaxReclaim	Event related to tax reclaim activities.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.
DLST	TradingStatusDelisted	Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.
SUSP	TradingStatusSuspended	Trading in the security has been suspended.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder.
WRTH	Worthless	Booking out of valueless securities.

7.1.8.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Event types expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

7.1.9 Organisation Identification

7.1.9.1 OrganisationIdentification29

Definition: Unique and unambiguous way to identify an organisation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	129
	LEI <LEI>	[0..1]	IdentifierSet		129
	Other <Othr>	[0..*]			129
	Identification <Id>	[1..1]	Text		130
	SchemeName <SchmeNm>	[0..1]			130
{Or	Code <Cd>	[1..1]	CodeSet		130
Or}	Proprietary <Prtry>	[1..1]	Text		130
	Issuer <Issr>	[0..1]	Text		130

7.1.9.1.1 AnyBIC <AnyBIC>

Presence: [0..1]

Definition: Business identification code of the organisation.

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 189

Constraints

- AnyBIC

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

7.1.9.1.2 LEI <LEI>

Presence: [0..1]

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

Datatype: "LEIIdentifier" on page 190

7.1.9.1.3 Other <Othr>

Presence: [0..*]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		130
	SchemeName <SchmeNm>	[0..1]			130
{Or	Code <Cd>	[1..1]	CodeSet		130
Or}	Proprietary <Prtry>	[1..1]	Text		130
	Issuer <Issr>	[0..1]	Text		130

7.1.9.1.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification assigned by an institution.

Datatype: "Max35Text" on page 193

7.1.9.1.3.2 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Name of the identification scheme.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		130
Or}	Proprietary <Prtry>	[1..1]	Text		130

7.1.9.1.3.2.1 Code <Cd>

Presence: [1..1]

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

Datatype: "ExternalOrganisationIdentification1Code" on page 182

7.1.9.1.3.2.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: "Max35Text" on page 193

7.1.9.1.3.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 193

7.1.10 Party Identification

7.1.10.1 AlternatePartyIdentification7

Definition: Alternate identification for a party using an identification type, a country code and a text field.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		131
	Country <Ctry>	[1..1]	CodeSet	C3	131
	AlternateIdentification <AltrnId>	[1..1]	Text		131

7.1.10.1.1 IdentificationType <IdTp>

Presence: [1..1]

Definition: Specifies the type of alternate identification of the party identified.

IdentificationType <IdTp> contains one of the following elements (see "[IdentificationType42Choice](#)" on page 117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		117
Or}	Proprietary <Prtry>	[1..1]	±		117

7.1.10.1.2 Country <Ctry>

Presence: [1..1]

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

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

Datatype: "[CountryCode](#)" on page 180

Constraints

- **Country**

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

7.1.10.1.3 AlternateIdentification <AltrnId>

Presence: [1..1]

Definition: Alternate identification for a party.

Datatype: "[Max35Text](#)" on page 193

7.1.10.2 Party38Choice

Definition: Nature or use of the account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		132
Or}	Privateldentification <PrvtId>	[1..1]	±		132

7.1.10.2.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Unique and unambiguous way to identify an organisation.

OrganisationIdentification <OrgId> contains the following elements (see "[OrganisationIdentification29](#)" on page 128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	129
	LEI <LEI>	[0..1]	IdentifierSet		129
	Other <Othr>	[0..*]			129
	Identification <Id>	[1..1]	Text		130
	SchemeName <SchmeNm>	[0..1]			130
{Or	Code <Cd>	[1..1]	CodeSet		130
Or}	Proprietary <Prtry>	[1..1]	Text		130
	Issuer </ssr>	[0..1]	Text		130

7.1.10.2.2 Privateldentification <PrvtId>

Presence: [1..1]

Definition: Unique and unambiguous identification of a person, for example a passport.

PrivateIdentification <PrvtId> contains the following elements (see "[PersonIdentification13](#)" on page 137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			138
	BirthDate <BirthDt>	[1..1]	Date		138
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		138
	CityOfBirth <CityOfBirth>	[1..1]	Text		138
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C3	139
	Other <Othr>	[0..*]			139
	Identification <Id>	[1..1]	Text		139
	SchemeName <SchmeNm>	[0..1]			139
{Or	Code <Cd>	[1..1]	CodeSet		140
Or}	Proprietary <Prtry>	[1..1]	Text		140
	Issuer </ssr>	[0..1]	Text		140

7.1.10.3 PartyIdentification120Choice

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	133
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		134
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		134

7.1.10.3.1 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 189

Constraints

- **AnyBIC**

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

7.1.10.3.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

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

ProprietaryIdentification <PrtryId> contains the following elements (see "[GenericIdentification36](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		119
	Issuer <Issr>	[1..1]	Text		119
	SchemeName <SchmeNm>	[0..1]	Text		119

7.1.10.3.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see "[NameAndAddress5](#)" on page 143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		143
	Address <Adr>	[0..1]	±		143

7.1.10.4 PartyIdentification127Choice

Definition: Choice of identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	134
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		135

7.1.10.4.1 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 189

Constraints

- **AnyBIC**

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

7.1.10.4.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

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

ProprietaryIdentification <PrtryId> contains the following elements (see "GenericIdentification36" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		119
	Issuer <Issr>	[1..1]	Text		119
	SchemeName <SchmeNm>	[0..1]	Text		119

7.1.10.5 PartyIdentification135

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		135
	PostalAddress <PstlAdr>	[0..1]	±		135
	Identification <Id>	[0..1]	±		136
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	136
	ContactDetails <CtctDtls>	[0..1]	±		137

7.1.10.5.1 Name <Nm>

Presence: [0..1]

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

Datatype: "Max140Text" on page 192

7.1.10.5.2 PostalAddress <PstlAdr>

Presence: [0..1]

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

PostalAddress <PstIAdr> contains the following elements (see "[PostalAddress24](#)" on page 143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			144
{Or	Code <Cd>	[1..1]	CodeSet		144
Or}	Proprietary <Prtry>	[1..1]	±		145
	Department <Dept>	[0..1]	Text		145
	SubDepartment <SubDept>	[0..1]	Text		145
	StreetName <StrtNm>	[0..1]	Text		145
	BuildingNumber <BldgNb>	[0..1]	Text		145
	BuildingName <BldgNm>	[0..1]	Text		146
	Floor <Flr>	[0..1]	Text		146
	PostBox <PstBx>	[0..1]	Text		146
	Room <Room>	[0..1]	Text		146
	PostCode <PstCd>	[0..1]	Text		146
	TownName <TwnNm>	[0..1]	Text		146
	TownLocationName <TwnLctnNm>	[0..1]	Text		146
	DistrictName <DstrctNm>	[0..1]	Text		146
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		147
	Country <Ctry>	[0..1]	CodeSet	C3	147
	AddressLine <AdrLine>	[0..7]	Text		147

7.1.10.5.3 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identification of a party.

Identification <Id> contains one of the following elements (see "[Party38Choice](#)" on page 131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		132
Or}	PrivateIdentification <PrvtId>	[1..1]	±		132

7.1.10.5.4 CountryOfResidence <CtryOfRes>

Presence: [0..1]

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

Impacted by: C3 "Country"

Datatype: "CountryCode" on page 180

Constraints

- **Country**

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

7.1.10.5.5 ContactDetails <CtctDtls>

Presence: [0..1]

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

ContactDetails <CtctDtls> contains the following elements (see "Contact4" on page 140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		140
	Name <Nm>	[0..1]	Text		141
	PhoneNumber <PhneNb>	[0..1]	Text		141
	MobileNumber <MobNb>	[0..1]	Text		141
	FaxNumber <FaxNb>	[0..1]	Text		141
	EmailAddress <EmailAdr>	[0..1]	Text		141
	EmailPurpose <EmailPurp>	[0..1]	Text		141
	JobTitle <JobTitl>	[0..1]	Text		141
	Responsibility <Rspnsblty>	[0..1]	Text		142
	Department <Dept>	[0..1]	Text		142
	Other <Othr>	[0..*]			142
	ChannelType <ChanlTp>	[1..1]	Text		142
	Identification <Id>	[0..1]	Text		142
	PreferredMethod <PrefrdMtd>	[0..1]	CodeSet		142

7.1.11 Person Identification

7.1.11.1 PersonIdentification13

Definition: Unique and unambiguous way to identify a person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			138
	BirthDate <BirthDt>	[1..1]	Date		138
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		138
	CityOfBirth <CityOfBirth>	[1..1]	Text		138
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C3	139
	Other <Othr>	[0..*]			139
	Identification <Id>	[1..1]	Text		139
	SchemeName <SchmeNm>	[0..1]			139
{Or	Code <Cd>	[1..1]	CodeSet		140
Or}	Proprietary <Prtry>	[1..1]	Text		140
	Issuer <Issr>	[0..1]	Text		140

7.1.11.1.1 DateAndPlaceOfBirth <DtAndPlcOfBirth>

Presence: [0..1]

Definition: Date and place of birth of a person.

DateAndPlaceOfBirth <DtAndPlcOfBirth> contains the following **DateAndPlaceOfBirth1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BirthDate <BirthDt>	[1..1]	Date		138
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		138
	CityOfBirth <CityOfBirth>	[1..1]	Text		138
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C3	139

7.1.11.1.1.1 BirthDate <BirthDt>

Presence: [1..1]

Definition: Date on which a person is born.

Datatype: "ISODate" on page 188

7.1.11.1.1.2 ProvinceOfBirth <PrvcOfBirth>

Presence: [0..1]

Definition: Province where a person was born.

Datatype: "Max35Text" on page 193

7.1.11.1.1.3 CityOfBirth <CityOfBirth>

Presence: [1..1]

Definition: City where a person was born.

Datatype: "Max35Text" on page 193

7.1.11.1.4 CountryOfBirth <CtryOfBirth>

Presence: [1..1]

Definition: Country where a person was born.

Impacted by: C3 "Country"

Datatype: "CountryCode" on page 180

Constraints

- **Country**

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

7.1.11.1.2 Other <Othr>

Presence: [0..*]

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

Other <Othr> contains the following **GenericPersonIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		139
	SchemeName <SchmeNm>	[0..1]			139
{Or	Code <Cd>	[1..1]	CodeSet		140
Or}	Proprietary <Prtry>	[1..1]	Text		140
	Issuer <Issr>	[0..1]	Text		140

7.1.11.1.2.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification of a person.

Datatype: "Max35Text" on page 193

7.1.11.1.2.2 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Name of the identification scheme.

SchemeName <SchmeNm> contains one of the following **PersonIdentificationSchemeName1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		140
Or}	Proprietary <Prtry>	[1..1]	Text		140

7.1.11.1.2.2.1 Code <Cd>*Presence:* [1..1]*Definition:* Name of the identification scheme, in a coded form as published in an external list.*Datatype:* "ExternalPersonIdentification1Code" on page 183**7.1.11.1.2.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Name of the identification scheme, in a free text form.*Datatype:* "Max35Text" on page 193**7.1.11.1.2.3 Issuer <Issr>***Presence:* [0..1]*Definition:* Entity that assigns the identification.*Datatype:* "Max35Text" on page 193**7.1.11.2 Contact4***Definition:* Specifies the details of the contact person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		140
	Name <Nm>	[0..1]	Text		141
	PhoneNumber <PhneNb>	[0..1]	Text		141
	MobileNumber <MobNb>	[0..1]	Text		141
	FaxNumber <FaxNb>	[0..1]	Text		141
	EmailAddress <EmailAdr>	[0..1]	Text		141
	EmailPurpose <EmailPurp>	[0..1]	Text		141
	JobTitle <JobTitl>	[0..1]	Text		141
	Responsibility <Rspnsblty>	[0..1]	Text		142
	Department <Dept>	[0..1]	Text		142
	Other <Othr>	[0..*]			142
	ChannelType <ChanlTp>	[1..1]	Text		142
	Identification <Id>	[0..1]	Text		142
	PreferredMethod <PrefrdMtd>	[0..1]	CodeSet		142

7.1.11.2.1 NamePrefix <NmPrfx>*Presence:* [0..1]*Definition:* Specifies the terms used to formally address a person.*Datatype:* "NamePrefix2Code" on page 183

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

7.1.11.2.2 Name <Nm>

Presence: [0..1]

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

Datatype: "Max140Text" on page 192

7.1.11.2.3 PhoneNumber <PhneNb>

Presence: [0..1]

Definition: Collection of information that identifies a phone number, as defined by telecom services.

Datatype: "PhoneNumber" on page 194

7.1.11.2.4 MobileNumber <MobNb>

Presence: [0..1]

Definition: Collection of information that identifies a mobile phone number, as defined by telecom services.

Datatype: "PhoneNumber" on page 194

7.1.11.2.5 FaxNumber <FaxNb>

Presence: [0..1]

Definition: Collection of information that identifies a FAX number, as defined by telecom services.

Datatype: "PhoneNumber" on page 194

7.1.11.2.6 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: "Max2048Text" on page 192

7.1.11.2.7 EmailPurpose <EmailPurp>

Presence: [0..1]

Definition: Purpose for which an email address may be used.

Datatype: "Max35Text" on page 193

7.1.11.2.8 JobTitle <JobTitl>

Presence: [0..1]

Definition: Title of the function.

Datatype: "Max35Text" on page 193

7.1.11.2.9 Responsibility <Rspnsblty>

Presence: [0..1]

Definition: Role of a person in an organisation.

Datatype: "Max35Text" on page 193

7.1.11.2.10 Department <Dept>

Presence: [0..1]

Definition: Identification of a division of a large organisation or building.

Datatype: "Max70Text" on page 194

7.1.11.2.11 Other <Othr>

Presence: [0..*]

Definition: Contact details in another form.

Other <Othr> contains the following **OtherContact1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ChannelType <ChanlTp>	[1..1]	Text		142
	Identification <Id>	[0..1]	Text		142

7.1.11.2.11.1 ChannelType <ChanlTp>

Presence: [1..1]

Definition: Method used to contact the financial institution's contact for the specific tax region.

Datatype: "Max4Text" on page 193

7.1.11.2.11.2 Identification <Id>

Presence: [0..1]

Definition: Communication value such as phone number or email address.

Datatype: "Max128Text" on page 192

7.1.11.2.12 PreferredMethod <PrefrdMtd>

Presence: [0..1]

Definition: Preferred method used to reach the contact.

Datatype: "PreferredContactMethod1Code" on page 185

CodeName	Name	Definition
LETT	Letter	Preferred method used to reach the contact is per letter.
MAIL	Email	Preferred method used to reach the contact is per email.

CodeName	Name	Definition
PHON	Phone	Preferred method used to reach the contact is per phone.
FAXX	Fax	Preferred method used to reach the contact is per fax.
CELL	MobileOrCellPhone	Preferred method used to reach the contact is per mobile or cell phone.

7.1.12 Postal Address

7.1.12.1 NameAndAddress5

Definition: Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		143
	Address <Adr>	[0..1]	±		143

7.1.12.1.1 Name <Nm>

Presence: [1..1]

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

Datatype: "Max350Text" on page 193

7.1.12.1.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

Address <Adr> contains the following elements (see "PostalAddress1" on page 147 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		147
	AddressLine <AdrLine>	[0..5]	Text		148
	StreetName <StrtNm>	[0..1]	Text		148
	BuildingNumber <BldgNb>	[0..1]	Text		148
	PostCode <PstCd>	[0..1]	Text		148
	TownName <TwnNm>	[0..1]	Text		148
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		148
	Country <Ctry>	[1..1]	CodeSet	C3	149

7.1.12.2 PostalAddress24

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			144
{Or	Code <Cd>	[1..1]	CodeSet		144
Or}	Proprietary <Prtry>	[1..1]	±		145
	Department <Dept>	[0..1]	Text		145
	SubDepartment <SubDept>	[0..1]	Text		145
	StreetName <StrtNm>	[0..1]	Text		145
	BuildingNumber <BldgNb>	[0..1]	Text		145
	BuildingName <BldgNm>	[0..1]	Text		146
	Floor <Flr>	[0..1]	Text		146
	PostBox <PstBx>	[0..1]	Text		146
	Room <Room>	[0..1]	Text		146
	PostCode <PstCd>	[0..1]	Text		146
	TownName <TwnNm>	[0..1]	Text		146
	TownLocationName <TwnLctnNm>	[0..1]	Text		146
	DistrictName <DstrctNm>	[0..1]	Text		146
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		147
	Country <Ctry>	[0..1]	CodeSet	C3	147
	AddressLine <AdrLine>	[0..7]	Text		147

7.1.12.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

AddressType <AdrTp> contains one of the following **AddressType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		144
Or}	Proprietary <Prtry>	[1..1]	±		145

7.1.12.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of address expressed as a code.

Datatype: "AddressType2Code" on page 172

CodeName	Name	Definition
ADDR	Postal	Address is the complete postal address.

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

7.1.12.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of address expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

7.1.12.2.2 Department <Dept>

Presence: [0..1]

Definition: Identification of a division of a large organisation or building.

Datatype: "[Max70Text](#)" on page 194

7.1.12.2.3 SubDepartment <SubDept>

Presence: [0..1]

Definition: Identification of a sub-division of a large organisation or building.

Datatype: "[Max70Text](#)" on page 194

7.1.12.2.4 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "[Max70Text](#)" on page 194

7.1.12.2.5 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "[Max16Text](#)" on page 192

7.1.12.2.6 BuildingName <BldgNm>

Presence: [0..1]

Definition: Name of the building or house.

Datatype: "Max35Text" on page 193

7.1.12.2.7 Floor <Flr>

Presence: [0..1]

Definition: Floor or storey within a building.

Datatype: "Max70Text" on page 194

7.1.12.2.8 PostBox <PstBx>

Presence: [0..1]

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

Datatype: "Max16Text" on page 192

7.1.12.2.9 Room <Room>

Presence: [0..1]

Definition: Building room number.

Datatype: "Max70Text" on page 194

7.1.12.2.10 PostCode <PstCd>

Presence: [0..1]

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

Datatype: "Max16Text" on page 192

7.1.12.2.11 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 193

7.1.12.2.12 TownLocationName <TwnLctnNm>

Presence: [0..1]

Definition: Specific location name within the town.

Datatype: "Max35Text" on page 193

7.1.12.2.13 DistrictName <DstrctNm>

Presence: [0..1]

Definition: Identifies a subdivision within a country sub-division.

Datatype: "Max35Text" on page 193

7.1.12.2.14 CountrySubDivision <CtrySubDvsn>*Presence:* [0..1]*Definition:* Identifies a subdivision of a country such as state, region, county.*Datatype:* "Max35Text" on page 193**7.1.12.2.15 Country <Ctry>***Presence:* [0..1]*Definition:* Nation with its own government.*Impacted by:* C3 "Country"*Datatype:* "CountryCode" on page 180**Constraints**

- **Country**

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

7.1.12.2.16 AddressLine <AdrLine>*Presence:* [0..7]*Definition:* Information that locates and identifies a specific address, as defined by postal services, presented in free format text.*Datatype:* "Max70Text" on page 194**7.1.12.3 PostalAddress1***Definition:* Information that locates and identifies a specific address, as defined by postal services.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		147
	AddressLine <AdrLine>	[0..5]	Text		148
	StreetName <StrtNm>	[0..1]	Text		148
	BuildingNumber <BldgNb>	[0..1]	Text		148
	PostCode <PstCd>	[0..1]	Text		148
	TownName <TwnNm>	[0..1]	Text		148
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		148
	Country <Ctry>	[1..1]	CodeSet	C3	149

7.1.12.3.1 AddressType <AdrTp>*Presence:* [0..1]*Definition:* Identifies the nature of the postal address.*Datatype:* "AddressType2Code" on page 172

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.

7.1.12.3.2 AddressLine <AdrLine>

Presence: [0..5]

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

Datatype: "Max70Text" on page 194

7.1.12.3.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 194

7.1.12.3.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 192

7.1.12.3.5 PostCode <PstCd>

Presence: [0..1]

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

Datatype: "Max16Text" on page 192

7.1.12.3.6 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 193

7.1.12.3.7 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: "Max35Text" on page 193

7.1.12.3.8 Country <Ctry>*Presence:* [1..1]*Definition:* Nation with its own government.*Impacted by:* C3 "Country"*Datatype:* "CountryCode" on page 180**Constraints**

- **Country**

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

7.1.13 Rate**7.1.13.1 RateAndAmountFormat40Choice***Definition:* Choice of format between a rate or a rate type and rate or an amount or a unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		149
Or	Amount <Amt>	[1..1]	Amount	C1	149
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			150
	RateType <RateTp>	[1..1]			150
{Or	Code <Cd>	[1..1]	CodeSet		150
Or}	Proprietary <Prtry>	[1..1]	±		150
	Rate <Rate>	[1..1]	Rate		151

7.1.13.1.1 Rate <Rate>*Presence:* [1..1]*Definition:* Value expressed as a rate.*Datatype:* "PercentageRate" on page 191**7.1.13.1.2 Amount <Amt>***Presence:* [1..1]*Definition:* Value is expressed as a currency and amount.*Impacted by:* C1 "ActiveCurrency"*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 170**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

7.1.13.1.3 RateTypeAndRate <RateTpAndRate>

Presence: [1..1]

Definition: Value is expressed as a rate type and a percentage rate.

RateTypeAndRate <RateTpAndRate> contains the following **RateTypeAndPercentageRate8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			150
{Or	Code <Cd>	[1..1]	CodeSet		150
Or}	Proprietary <Prtry>	[1..1]	±		150
	Rate <Rate>	[1..1]	Rate		151

7.1.13.1.3.1 RateType <RateTp>

Presence: [1..1]

Definition: Value expressed as a rate type.

RateType <RateTp> contains one of the following **RateType42Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		150
Or}	Proprietary <Prtry>	[1..1]	±		150

7.1.13.1.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of withholding tax rate.

Datatype: "WithholdingTaxRateType1Code" on page 188

CodeName	Name	Definition
BWIT	BackUpWithholding	Withholding tax related to payments subject to back up withholding.
FTCA	FATCATax	Withholding tax related to income subject to FATCA (Foreign Account Tax Compliance Act).
NRAT	NRATax	Withholding tax related to income subject to NRA (Non Resident Alien).

7.1.13.1.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of withholding tax rate.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

7.1.13.1.3.2 Rate <Rate>

Presence: [1..1]

Definition: Value expressed as a rate.

Datatype: "[PercentageRate](#)" on page 191

7.1.14 Safekeeping Place

7.1.14.1 SafekeepingPlaceFormat28Choice

Definition: Choice of formats for a place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			151
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		151
	Identification <Id>	[0..1]	Text		152
Or	Country <Ctry>	[1..1]	CodeSet	C3	152
Or	TypeAndIdentification <TpAndId>	[1..1]			152
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		152
	Identification <Id>	[1..1]	IdentifierSet	C1	153
Or}	Proprietary <Prtry>	[1..1]	±		153

7.1.14.1.1 Identification <Id>

Presence: [1..1]

Definition: Place of safekeeping expressed as a code and a narrative description.

Identification <Id> contains the following **SafekeepingPlaceTypeAndText6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		151
	Identification <Id>	[0..1]	Text		152

7.1.14.1.1.1 SafekeepingPlaceType <SfkpgPlcTp>

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: "SafekeepingPlace2Code" on page 186

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.

7.1.14.1.1.2 Identification <Id>

Presence: [0..1]

Definition: Additional information about the place of safekeeping.

Datatype: "Max35Text" on page 193

7.1.14.1.2 Country <Ctry>

Presence: [1..1]

Definition: Place of safekeeping expressed with a country code.

Impacted by: C3 "Country"

Datatype: "CountryCode" on page 180

Constraints

- **Country**

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

7.1.14.1.3 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		152
	Identification <Id>	[1..1]	IdentifierSet	C1	153

7.1.14.1.3.1 SafekeepingPlaceType <SfkpgPlcTp>

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: "SafekeepingPlace1Code" on page 186

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.

7.1.14.1.3.2 Identification <Id>

Presence: [1..1]

Definition: Place of safekeeping.

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 189

Constraints

- **AnyBIC**

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

7.1.14.1.4 Proprietary <Prtry>

Presence: [1..1]

Definition: Place of safekeeping expressed with a propriety identification scheme.

Proprietary <Prtry> contains the following elements (see "GenericIdentification78" on page 116 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		116
	Identification <Id>	[0..1]	Text		117

7.1.15 Securities Quantity

7.1.15.1 FinancialInstrumentQuantity18Choice

Definition: Choice between formats for the quantity of security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		154
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		154

7.1.15.1.1 Unit <Unit>*Presence:* [1..1]*Definition:* Quantity expressed as a number, for example, a number of shares.*Datatype:* "DecimalNumber" on page 191**7.1.15.1.2 FaceAmount <FaceAmt>***Presence:* [1..1]*Definition:* Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.*Datatype:* "ImpliedCurrencyAndAmount" on page 171**7.1.15.2 OriginalAndCurrentQuantities1***Definition:* Original and current value of an asset-back instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FaceAmount <FaceAmt>	[1..1]	Amount		154
	AmortisedValue <AmtsdVal>	[1..1]	Amount		154

7.1.15.2.1 FaceAmount <FaceAmt>*Presence:* [1..1]*Definition:* Quantity expressed as an amount representing the face amount, that is, the principal of a debt instrument.*Datatype:* "ImpliedCurrencyAndAmount" on page 171**7.1.15.2.2 AmortisedValue <AmtsdVal>***Presence:* [1..1]*Definition:* Quantity expressed as an amount representing the current amortised face amount of a bond, for example, a periodic reduction/increase of a bond's principal amount.*Datatype:* "ImpliedCurrencyAndAmount" on page 171**7.1.16 Settlement Chain****7.1.16.1 SettlementParties75***Definition:* Specifies settlement parties (delivering/receiving).

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]		C2	156
	Identification <Id>	[1..1]			156
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	156
Or	NameAndAddress <NmAndAdr>	[1..1]	±		157
Or}	Country <Ctry>	[1..1]	CodeSet	C3	157
	ProcessingIdentification <Prcgld>	[0..1]	Text		157
	AlternatIdentification <Altrnld>	[0..*]	±		157
	Party1 <Pty1>	[0..1]		C3	158
	Identification <Id>	[1..1]	±		158
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		158
	ProcessingIdentification <Prcgld>	[0..1]	Text		159
	AlternatIdentification <Altrnld>	[0..*]	±		159
	Party2 <Pty2>	[0..1]		C3	159
	Identification <Id>	[1..1]	±		159
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		160
	ProcessingIdentification <Prcgld>	[0..1]	Text		160
	AlternatIdentification <Altrnld>	[0..*]	±		160
	Party3 <Pty3>	[0..1]		C3	160
	Identification <Id>	[1..1]	±		161
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		161
	ProcessingIdentification <Prcgld>	[0..1]	Text		161
	AlternatIdentification <Altrnld>	[0..*]	±		161

Constraints

• Party2PresenceRule

If Party 2 is present, then Party 1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

• Party3PresenceRule

If Party 3 is present, then Party 2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

7.1.16.1.1 Depository <Dpstry>*Presence:* [0..1]

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

Impacted by: C2 "AdditionalInformationRule"

Depository <Dpstry> contains the following **PartyIdentification143** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			156
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	156
Or	NameAndAddress <NmAndAdr>	[1..1]	±		157
Or}	Country <Ctry>	[1..1]	CodeSet	C3	157
	ProcessingIdentification <PrctlId>	[0..1]	Text		157
	AlternateIdentification <AltrId>	[0..*]	±		157

Constraints

- AdditionalInformationRule**

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

7.1.16.1.1.1 Identification <Id>*Presence:* [1..1]

Definition: Identification of a party.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	156
Or	NameAndAddress <NmAndAdr>	[1..1]	±		157
Or}	Country <Ctry>	[1..1]	CodeSet	C3	157

7.1.16.1.1.1.1 AnyBIC <AnyBIC>*Presence:* [1..1]

Definition: Unique and unambiguous way to identify an organisation.

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 189

Constraints

- **AnyBIC**

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

7.1.16.1.1.2 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Unique and unambiguous way to identify an organisation.

NameAndAddress <NmAndAdr> contains the following elements (see ["NameAndAddress5" on page 143](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		143
	Address <Adr>	[0..1]	±		143

7.1.16.1.1.3 Country <Ctry>

Presence: [1..1]

Definition: Unique and unambiguous way to identify an organisation.

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

Datatype: ["CountryCode" on page 180](#)

Constraints

- **Country**

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

7.1.16.1.1.2 ProcessingIdentification <Prcgld>

Presence: [0..1]

Definition: Reference meaningful to the party identified.

Datatype: ["Max35Text" on page 193](#)

7.1.16.1.1.3 AlternateIdentification <Altrnld>

Presence: [0..*]

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

AlternateIdentification <AltrnId> contains the following elements (see "[AlternatePartyIdentification7](#)" on page 131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		131
	Country <Ctry>	[1..1]	CodeSet	C3	131
	AlternateIdentification <AltrnId>	[1..1]	Text		131

7.1.16.1.2 Party1 <Pty1>

Presence: [0..1]

Definition: Party that interacts with the depository.

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

Party1 <Pty1> contains the following **PartyIdentificationAndAccount163** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		158
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		158
	ProcessingIdentification <PrctlId>	[0..1]	Text		159
	AlternateIdentification <AltrnId>	[0..*]	±		159

Constraints

- **AdditionalInformationRule**

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

7.1.16.1.2.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a party.

Identification <Id> contains one of the following elements (see "[PartyIdentification120Choice](#)" on page 133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	133
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		134
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		134

7.1.16.1.2.2 SafekeepingAccount <SfkpgAcct>

Presence: [0..1]

Definition: Account where financial instruments are maintained.

Datatype: "Max35Text" on page 193

7.1.16.1.2.3 ProcessingIdentification <Prcgld>

Presence: [0..1]

Definition: Reference meaningful to the party identified.

Datatype: "Max35Text" on page 193

7.1.16.1.2.4 Alternateldentification <Altrnld>

Presence: [0..*]

Definition: Alternate identification for a party.

Alternateldentification <Altrnld> contains the following elements (see "AlternatePartyIdentification7" on page 131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		131
	Country <Ctry>	[1..1]	CodeSet	C3	131
	Alternateldentification <Altrnld>	[1..1]	Text		131

7.1.16.1.3 Party2 <Pty2>

Presence: [0..1]

Definition: Party that interacts with the party1.

Impacted by: C3 "AdditionalInformationRule"

Party2 <Pty2> contains the following **PartyIdentificationAndAccount163** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		159
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		160
	ProcessingIdentification <Prcgld>	[0..1]	Text		160
	Alternateldentification <Altrnld>	[0..*]	±		160

Constraints

- **AdditionalInformationRule**

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

7.1.16.1.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a party.

Identification <Id> contains one of the following elements (see "[PartyIdentification120Choice](#)" on page 133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	133
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		134
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		134

7.1.16.1.3.2 SafekeepingAccount <SfkpgAcct>

Presence: [0..1]

Definition: Account where financial instruments are maintained.

Datatype: "[Max35Text](#)" on page 193

7.1.16.1.3.3 ProcessingIdentification <PrcgId>

Presence: [0..1]

Definition: Reference meaningful to the party identified.

Datatype: "[Max35Text](#)" on page 193

7.1.16.1.3.4 AlternateIdentification <AltrnId>

Presence: [0..*]

Definition: Alternate identification for a party.

AlternateIdentification <AltrnId> contains the following elements (see "[AlternatePartyIdentification7](#)" on page 131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		131
	Country <Ctry>	[1..1]	CodeSet	C3	131
	AlternateIdentification <AltrnId>	[1..1]	Text		131

7.1.16.1.4 Party3 <Pty3>

Presence: [0..1]

Definition: Party that interacts with the party2.

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

Party3 <Pty3> contains the following **PartyIdentificationAndAccount163** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		161
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		161
	ProcessingIdentification <PrcgId>	[0..1]	Text		161
	AlternateIdentification <AltrnId>	[0..*]	±		161

Constraints

- **AdditionalInformationRule**

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

7.1.16.1.4.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a party.

Identification <Id> contains one of the following elements (see "[PartyIdentification120Choice](#)" on page 133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	133
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		134
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		134

7.1.16.1.4.2 SafekeepingAccount <SfkpgAcct>

Presence: [0..1]

Definition: Account where financial instruments are maintained.

Datatype: "[Max35Text](#)" on page 193

7.1.16.1.4.3 ProcessingIdentification <Prcgld>

Presence: [0..1]

Definition: Reference meaningful to the party identified.

Datatype: "[Max35Text](#)" on page 193

7.1.16.1.4.4 AlternateIdentification <Altrnld>

Presence: [0..*]

Definition: Alternate identification for a party.

AlternateIdentification <Altrnld> contains the following elements (see "[AlternatePartyIdentification7](#)" on page 131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		131
	Country <Ctry>	[1..1]	CodeSet	C3	131
	AlternateIdentification <Altrnld>	[1..1]	Text		131

7.1.17 Status

7.1.17.1 NoSpecifiedReason1

Definition: No specified reason available for the status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		162

7.1.17.1.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

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

Datatype: "NoReasonCode" on page 183

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

7.1.17.2 ProprietaryReason4

Definition: Proprietary identification of the reason related to a status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	±		162
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		162

Constraints

- **AdditionalReasonInformationRule**

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

7.1.17.2.1 Reason <Rsn>

Presence: [0..1]

Definition: Proprietary identification of the reason related to a status.

Reason <Rsn> contains the following elements (see "[GenericIdentification30](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

7.1.17.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "Max210Text" on page 193

7.1.17.3 CancelledStatus11Choice

Definition: Choice between a reason or no reason for the corporate action instruction or instruction cancellation cancelled/cancellation completed status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		163
Or}	Reason <Rsn>	[1..*]		C3	163
	ReasonCode <RsnCd>	[1..1]			164
{Or	Code <Cd>	[1..1]	CodeSet		164
Or}	Proprietary <Prtry>	[1..1]	±		164
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		164

7.1.17.3.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 183

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

7.1.17.3.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the cancelled status.

Impacted by: C3 "AdditionalReasonInformationRule"

Reason <Rsn> contains the following **CancelledStatusReason12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			164
{Or	Code <Cd>	[1..1]	CodeSet		164
Or}	Proprietary <Prtry>	[1..1]	±		164
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		164

Constraints

- **AdditionalReasonInformationRule**

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

7.1.17.3.2.1 ReasonCode <RsnCd>

Presence: [1..1]

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

ReasonCode <RsnCd> contains one of the following **CancelledReason9Choice** elements

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

7.1.17.3.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the reason why the instruction is cancelled.

Datatype: "CancelledStatusReason5Code" on page 172

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
OTHR	Other	Other. See Narrative.

7.1.17.3.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification specifying the reason why the instruction is cancelled.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

7.1.17.3.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "Max210Text" on page 193

7.1.17.4 AcceptedStatus8Choice

Definition: Choice between a reason or no reason for the corporate action instruction processing accepted status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		165
Or}	Reason <Rsn>	[1..*]		C3	165
	ReasonCode <RsnCd>	[1..1]			165
{Or	Code <Cd>	[1..1]	CodeSet		166
Or}	Proprietary <Prtry>	[1..1]	±		166
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		166

7.1.17.4.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 183

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

7.1.17.4.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the accepted status.

Impacted by: C3 "AdditionalReasonInformationRule"

Reason <Rsn> contains the following **AcceptedStatusReason9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			165
{Or	Code <Cd>	[1..1]	CodeSet		166
Or}	Proprietary <Prtry>	[1..1]	±		166
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		166

Constraints

- AdditionalReasonInformationRule**

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

7.1.17.4.2.1 ReasonCode <RsnCd>

Presence: [1..1]

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

ReasonCode <RsnCd> contains one of the following **AcceptedReason10Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		166
Or}	Proprietary <Prtry>	[1..1]	±		166

7.1.17.4.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify additional information about the processed instruction.

Datatype: "AcknowledgementReason7Code" on page 171

CodeName	Name	Definition
NSTP	NotStraightThroughProcessing	Instruction was not straight through processing and had to be processed manually.
OTHR	Other	Other. See Narrative.

7.1.17.4.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of additional information about the processed instruction.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

7.1.17.4.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "Max210Text" on page 193

7.1.17.5 CancelledStatus12Choice

Definition: Choice between a reason or no reason for the corporate action instruction or instruction cancellation cancelled/cancellation completed status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		167
Or}	Reason <Rsn>	[1..*]		C2	167
	ReasonCode <RsnCd>	[1..1]			167
{Or	Code <Cd>	[1..1]	CodeSet		168
Or}	Proprietary <Prtry>	[1..1]	±		168
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		168

7.1.17.5.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 183

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

7.1.17.5.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the cancelled status.

Impacted by: C2 "AdditionalReasonInformationRule"

Reason <Rsn> contains the following **CancelledStatusReason11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			167
{Or	Code <Cd>	[1..1]	CodeSet		168
Or}	Proprietary <Prtry>	[1..1]	±		168
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		168

Constraints

- **AdditionalReasonInformationRule**

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

7.1.17.5.2.1 ReasonCode <RsnCd>

Presence: [1..1]

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

ReasonCode <RsnCd> contains one of the following **CancelledReason8Choice** elements

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

7.1.17.5.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the reason why the instruction is cancelled.

Datatype: "CancelledStatusReason6Code" on page 173

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
CANO	CancelledByOther	Transaction is cancelled by a party other than the instructing party, for example, a market infrastructure such as a stock exchange.
CANS	CancelledBySystem	Transaction is cancelled by the system.
CSUB	CancelledByAgent	Instruction has been cancelled by the agent due to an event deadline extension.
OTHR	Other	Other. See Narrative.

7.1.17.5.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification specifying the reason why the instruction is cancelled.

Proprietary <Prtry> contains the following elements (see "GenericIdentification30" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

7.1.17.5.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "Max210Text" on page 193

7.1.17.6 ProprietaryStatusAndReason6

Definition: Provides the proprietary status and reason of an instruction or an instruction cancellation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		169
	ProprietaryReason <PrtryRsn>	[0..*]	±	C6	169

7.1.17.6.1 ProprietaryStatus <PrtrySts>

Presence: [1..1]

Definition: Proprietary identification of the status related to an instruction.

ProprietaryStatus <PrtrySts> contains the following elements (see "[GenericIdentification30](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		118
	Issuer <Issr>	[1..1]	Text		118
	SchemeName <SchmeNm>	[0..1]	Text		118

7.1.17.6.2 ProprietaryReason <PrtryRsn>

Presence: [0..*]

Definition: Proprietary identification of the reason related to a proprietary status.

Impacted by: C6 "[AdditionalReasonInformationRule](#)"

ProprietaryReason <PrtryRsn> contains the following elements (see "[ProprietaryReason4](#)" on page 162 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	±		162
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		162

Constraints

- **AdditionalReasonInformationRule**

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

7.1.18 System Identification

7.1.18.1 ClearingSystemIdentification2Choice

Definition: Choice of a clearing system identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		170
Or}	Proprietary <Prtry>	[1..1]	Text		170

7.1.18.1.1 Code <Cd>*Presence:* [1..1]*Definition:* Identification of a clearing system, in a coded form as published in an external list.*Datatype:* "ExternalClearingSystemIdentification1Code" on page 181**7.1.18.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Identification code for a clearing system, that has not yet been identified in the list of clearing systems.*Datatype:* "Max35Text" on page 193**7.2 Message Datatypes****7.2.1 Amount****7.2.1.1 ActiveCurrencyAnd13DecimalAmount***Definition:* A number of monetary units specified in an active currency where the unit of currency is explicit and compliant with ISO 4217. The number of fractional digits (or minor unit of currency) is not checked as per ISO 4217: It must be lesser than or equal to 13.

Note: The decimal separator is a dot.

Type: Amount

This data type contains the following XML attribute:

Name	Attribute XML Name	Datatype
Currency	Ccy	"ActiveCurrencyCode" on page 172

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.

7.2.1.2 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 172

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.

7.2.1.3 ImpliedCurrencyAndAmount

Definition: Number of monetary units specified in a currency where the unit of currency is implied by the context and compliant with ISO 4217. The decimal separator is a dot.

Note: a zero amount is considered a positive amount.

Type: Amount

Format

minInclusive	0
totalDigits	18
fractionDigits	5

7.2.2 CodeSet

7.2.2.1 AcknowledgementReason7Code

Definition: Specifies additional information about the processed instruction.

Type: CodeSet

CodeName	Name	Definition
NSTP	NotStraightThroughProcessing	Instruction was not straight through processing and had to be processed manually.
OTHR	Other	Other. See Narrative.

7.2.2.2 ActiveCurrencyCode

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

Type: CodeSet

Format

pattern [A-Z]{3,3}

Constraints

- **ActiveCurrency**

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

7.2.2.3 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.

7.2.2.4 BusinessMessagePriorityCode

Definition: Specifies the priority levels for the BusinessMessage.

The different priorities are typically user / service / implementation dependent. The semantics of the different values for a Mesage (Set) need to be defined by the relevant user community (SEG.).

Type: CodeSet

Constraints

- **ValidationByTable**

7.2.2.5 CancelledStatusReason5Code

Definition: Specifies the underlying reason for the cancellation of the associated transaction.

Type: CodeSet

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
OTHR	Other	Other. See Narrative.

7.2.2.6 CancelledStatusReason6Code

Definition: Specifies the underlying reason for the cancellation of the associated transaction.

Type: CodeSet

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
CANO	CancelledByOther	Transaction is cancelled by a party other than the instructing party, for example, a market infrastructure such as a stock exchange.
CANS	CancelledBySystem	Transaction is cancelled by the system.
CSUB	CancelledByAgent	Instruction has been cancelled by the agent due to an event deadline extension.
OTHR	Other	Other. See Narrative.

7.2.2.7 CopyDuplicate1Code

Definition: Specifies if this document is a copy, a duplicate, or a duplicate of a copy.

Type: CodeSet

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

7.2.2.8 CorporateActionEventType29Code

Definition: Specifies the corporate action event type.

Type: CodeSet

CodeName	Name	Definition
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading.
ATTI	Attachment	Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or

CodeName	Name	Definition
		warrants and equities. Securities may be combined at the request of the security holder or based on market convention.
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
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.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.

CodeName	Name	Definition
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend

CodeName	Name	Definition
		rather than investing the dividend in the market.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.

CodeName	Name	Definition
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.

CodeName	Name	Definition
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.

CodeName	Name	Definition
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
TREC	TaxReclaim	Event related to tax reclaim activities.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.
DLST	TradingStatusDelisted	Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.
SUSP	TradingStatusSuspended	Trading in the security has been suspended.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder.
WRTH	Worthless	Booking out of valueless securities.

7.2.2.9 CorporateActionOption11Code

Definition: Specifies the type of corporate action options.

Type: CodeSet

CodeName	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting. If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income

CodeName	Name	Definition
		with different tax implications (typically found in Australia).
BUYA	BuyUp	Buy additional securities to round up position.
CASE	CashAndSecurity	Option to choose between different security and cash options.
CASH	Cash	Option to choose cash.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a puttable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
NOQU	NonQualifiedInvestor	Account owner is a non-qualified investor.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
QINV	QualifiedInvestor	Account owner is a qualified investor.
SECU	Security	Distribution of securities to holders.
SLLE	SellEntitlement	Sell the intermediate securities.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.

7.2.2.10 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).

7.2.2.11 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.

7.2.2.12 DateType1Code

Definition: Specifies when date is unknown.

Type: CodeSet

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

7.2.2.13 DateType8Code

Definition: Specifies the type of dates.

Type: CodeSet

CodeName	Name	Definition
UKWN	Unknown	Date is unknown by the sender or has not been established.
ONGO	Ongoing	Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau".

7.2.2.14 ExternalClearingSystemIdentification1Code

Definition: Specifies the clearing system identification code, as published in an external clearing system identification code list.

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

minLength	1
maxLength	5

7.2.2.15 ExternalFinancialInstitutionIdentification1Code

Definition: Specifies the external financial institution identification scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

minLength	1
maxLength	4

7.2.2.16 ExternalFinancialInstrumentIdentificationType1Code

Definition: Specifies the external financial instrument identification type scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

minLength	1
maxLength	4

7.2.2.17 ExternalOrganisationIdentification1Code

Definition: Specifies the external organisation identification scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

minLength	1
maxLength	4

7.2.2.18 ExternalPersonIdentification1Code

Definition: Specifies the external person identification scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

minLength	1
maxLength	4

7.2.2.19 MarketClaimType1Code

Definition: Specifies the type of market claim in the context of a corporate action distribution event.

Type: CodeSet

CodeName	Name	Definition
MKTC	MarketClaim	Market claim that has been created due to a pending/failing settlement transaction, to ensure the event proceeds are delivered from the seller to the buyer.
RVMC	ReverseMarketClaim	Market claim that has been created due to a settled settlement transaction, to ensure the event proceeds are delivered from the buyer to the seller.

7.2.2.20 NamePrefix2Code

Definition: Specifies the terms used to formally address a person.

Type: CodeSet

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

7.2.2.21 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.

7.2.2.22 PendingCancellationReason7Code

Definition: Specifies the reason the transaction/instruction is pending or failing settlement. Settlement on the instructed settlement date is still possible, status is pending. Settlement on the instructed settlement date is no longer possible, status is failing.

Type: CodeSet

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Instruction was received after the account servicer's deadline. Processed on best effort basis.
CONF	AwaitingConfirmation	Awaiting confirmation from the counterparty.
OTHR	Other	Other. See Narrative.

7.2.2.23 PendingReason22Code

Definition: Specifies the reason why the instruction has a pending status.

Type: CodeSet

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Instruction was received after the account servicer's deadline. Processed on best effort basis.
OTHR	Other	Other. See Narrative.
MONY	InsufficientMoney	Insufficient money in your account.
LACK	LackOfSecurities	Insufficient financial instruments in your account.
LATE	MarketDeadlineMissed	Instruction was received after market deadline.
CLAC	CounterpartyInsufficientSecurities	Insufficient deliverable financial instruments in counterparty's account or counterparty does not hold financial instruments.
CMON	CounterpartyInsufficientMoney	Insufficient money in counterparty's account.
PREA	YourInstructionOnHold	Your instruction is a preadvice, that is, for matching only.
LINK	PendingLinkedInstruction	Your instruction is pending settlement because the instruction linked to it is pending.
CYCL	AwaitingNextSettlementCycle	Your instruction is confirmed in the local market or is ready for settlement, awaiting next settlement cycle.

CodeName	Name	Definition
BOTH	BothInstructionsOnHold	Counterparty's instruction and your instruction are on hold/frozen/ in a preadvice mode.
PRCY	CounterpartyInstructionOnHold	Counterparty's instruction is a preadvice, that is, for matching only.
FUTU	AwaitingSettlementDate	Awaiting settlement date. No settlement problems to be reported.

7.2.2.24 PreferredContactMethod1Code

Definition: Preferred method used to reach the individual contact within an organisation.

Type: CodeSet

CodeName	Name	Definition
LETT	Letter	Preferred method used to reach the contact is per letter.
MAIL	Email	Preferred method used to reach the contact is per email.
PHON	Phone	Preferred method used to reach the contact is per phone.
FAXX	Fax	Preferred method used to reach the contact is per fax.
CELL	MobileOrCellPhone	Preferred method used to reach the contact is per mobile or cell phone.

7.2.2.25 RejectionReason59Code

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

Type: CodeSet

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
OPTY	InvalidOptionType	Invalid option type.
ULNK	InvalidReference	Linked reference is unknown.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
LATE	MarketDeadlineMissed	Received after market deadline.
NMTY	Mismatch	Mismatch between option number and option type.
OPNM	OptionNumberRejection	Unrecognised option number.
OTHR	Other	Other. See Narrative.
DQUA	QuantityRejection	Unrecognised or invalid instructed quantity.
SAFE	SafekeepingAccountRejection	Unrecognised or invalid message sender's safekeeping account.

CodeName	Name	Definition
EVNM	UnrecognisedIdentification	Unrecognised event number.
DQCS	AmountRejection	Unrecognised or invalid instructed cash amount.
DQCC	CurrencyRejection	Invalid instructed currency.

7.2.2.26 RejectionReason61Code

Definition: Specify the reason why the market claim cancellation request has a rejected status.

Type: CodeSet

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
ULNK	InvalidReference	Linked reference is unknown.
LATE	MarketDeadlineMissed	Received after market deadline.
OTHR	Other	Other. See Narrative.
DCAN	RejectedSinceAlreadyCancelled	Cancellation request was rejected since the instruction has already been cancelled.
DSET	DeniedSinceAlreadySettled	Cancellation request was denied because the instruction was already settled.
DPRG	RejectedSinceInProgress	Cancellation request has been rejected because the instruction process is in progress or has been processed.

7.2.2.27 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.

7.2.2.28 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.

7.2.2.29 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.

7.2.2.30 UnicodeChartsCode

Definition: codelist containing the names of the UNICODE code block name as specified on <http://unicode.org/Public/UNIDATA/Blocks.txt>.

Type: CodeSet

Constraints

- **ValidationByTable**

7.2.2.31 UnmatchedReason16Code

Definition: Specifies the reason the transaction, transfer or settlement instruction is unmatched.

Type: CodeSet

CodeName	Name	Definition
NCRR	CurrencySettlementAmount	Settlement amount currency does not match.
DSEC	FinancialInstrument	Financial instrument identification does not match, for example, ISIN, financial instrument attributes differs.

CodeName	Name	Definition
DQUA	FinancialInstrumentQuantity	Quantity of financial instruments does not match.
CMIS	NoMatch	A matching instruction from your counterparty could not be found.
DEPT	ReceivingDeliveringDepository	Depository does not match.
ICAG	ReceivingDeliveringParty1	Participant of delivering or receiving depository does not match.
ICUS	ReceivingDeliveringParty2	Client of delivering or receiving party 1 does not match.
IEXE	ReceivingDeliveringParty3	Client of delivering or receiving party 2 does not match.
DMON	SettlementAmount	Settlement amount does not match.
DDAT	SettlementDate	Settlement date/time does not match.
DTRD	TradeDate	Trade date does not match.
DELN	TransactionDirection	Direction of the trade does not match. Counterparty expects a delivery from you, not a receipt or vice versa.

7.2.2.32 WithholdingTaxRateType1Code

Definition: Specifies the type of withholding tax rate.

Type: CodeSet

CodeName	Name	Definition
BWIT	BackUpWithholding	Withholding tax related to payments subject to back up withholding.
FTCA	FATCATax	Withholding tax related to income subject to FATCA (Foreign Account Tax Compliance Act).
NRAT	NRATax	Withholding tax related to income subject to NRA (Non Resident Alien).

7.2.3 Date

7.2.3.1 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

7.2.4 DateTime

7.2.4.1 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

7.2.5 IdentifierSet

7.2.5.1 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.

7.2.5.2 BICFIDec2014Identifier

Definition: Code allocated to a financial institution by the ISO 9362 Registration Authority as described in ISO 9362: 2014 - "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Type: IdentifierSet

Identification scheme: SWIFT; BICIdentifier

Format

pattern [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{2,2}([A-Z0-9]{3,3}){0,1}

Constraints

- **BICFI**

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

7.2.5.3 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.

7.2.5.4 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}

7.2.5.5 LEIIdentifier

Definition: Legal Entity Identifier is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Type: IdentifierSet

Identification scheme: Global LEI System; LEIIdentifier

Format

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

7.2.6 Indicator

7.2.6.1 YesNoIndicator

Definition: Indicates a "Yes" or "No" type of answer for an element.

Type: Indicator

Meaning When True: Yes

Meaning When False: No

7.2.7 Quantity

7.2.7.1 DecimalNumber

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

Type: Quantity

Format

totalDigits	18
fractionDigits	17

7.2.8 Rate

7.2.8.1 PercentageRate

Definition: Rate expressed as a percentage, that is, in hundredths, for example, 0.7 is 7/10 of a percent, and 7.0 is 7%.

Type: Rate

Format

totalDigits	11
fractionDigits	10
baseValue	100.0

7.2.9 Text

7.2.9.1 Exact3NumericText

Definition: Specifies a numeric string with an exact length of 3 digits.

Type: Text

Format

pattern	[0-9]{3}
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7.2.9.2 Exact4AlphaNumericText

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

Type: Text

Format

pattern	[a-zA-Z0-9]{4}
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7.2.9.3 Max128Text

Definition: Specifies a character string with a maximum length of 128 characters.

Type: Text

Format

minLength	1
maxLength	128

7.2.9.4 Max140Text

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

Type: Text

Format

minLength	1
maxLength	140

7.2.9.5 Max16Text

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

Type: Text

Format

minLength	1
maxLength	16

7.2.9.6 Max2048Text

Definition: Specifies a character string with a maximum length of 2048 characters.

Type: Text

Format

minLength	1
maxLength	2048

7.2.9.7 Max210Text

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

Type: Text

Format

minLength	1
maxLength	210

7.2.9.8 Max34Text

Definition: Specifies a character string with a maximum length of 34 characters.

Type: Text

Format

minLength	1
maxLength	34

7.2.9.9 Max350Text

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

Type: Text

Format

minLength	1
maxLength	350

7.2.9.10 Max35Text

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

Type: Text

Format

minLength	1
maxLength	35

7.2.9.11 Max4Text

Definition: Specifies a character string with a maximum length of 4 characters.

Type: Text

Format

minLength	1
maxLength	4

7.2.9.12 Max70Text

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

Type: Text

Format

minLength	1
maxLength	70

7.2.9.13 PhoneNumber

Definition: The collection of information which identifies a specific phone or FAX number as defined by telecom services.

It consists of a "+" followed by the country code (from 1 to 3 characters) then a "-" and finally, any combination of numbers, "(", ")", "+ and "-" (up to 30 characters).

Type: Text

Format

pattern	\+[0-9]{1,3}-[0-9()+\-]{1,30}
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