

ISO 20022

_SR_2021_MarketClaims

Message Reference Guide

This document provides details of the Message Definitions for _SR_2021_MarketClaims.

23 October 2020

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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
DRAFT1seev.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> <p>This message definition is intended for use with the Business Application Header (BAH).</p>
DRAFT1seev.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>
DRAFT1seev.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>
DRAFT1seev.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 **DRAFT1seev.050.001.01 MarketClaimCreationV01**

2.1 **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 7 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. AccountDetails

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

D. MarketClaimDetails

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

E. DeliveringSettlementParties

Identifies the chain of delivering settlement parties.

F. ReceivingSettlementParties

Identifies the chain of receiving settlement parties.

G. SupplementaryData

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

2.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <MktClnCre>	[1..1]			
	TransactionReference <TxRef>	[1..1]			8
	AccountServicerTransactionIdentification <AcctSvcrTxId>	[1..1]	Text		8
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		8
	ProcessorTransactionIdentification <PrctrTxId>	[0..1]	Text		8
	RelatedSettlementInstructionIdentification <RltdSttlmInstrId>	[1..1]	Text		9
	CorporateActionGeneralInformation <CorpActnGnlInf>	[1..1]		C14	9
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		9
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		9
	EventType <EvtTp>	[1..1]	±	C9	10
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C7, C8, C11, C12, C15	10
	AccountDetails <AcctDtls>	[1..1]		C18	11
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		12
	AccountOwner <AcctOwnr>	[0..1]	±		12
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		12
	MarketClaimDetails <MktClnDtls>	[1..1]		C13	12
	OptionNumber <OptnNb>	[1..1]	Text		13
	OptionType <OptnTp>	[1..1]	±		13
	SecuritiesMovementDetails <SctiesMvmntDtls>	[0..*]			14
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C7, C8, C11, C12, C15	14
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		15
	EntitledQuantity <EntitldQty>	[1..1]	±		15
	PaymentDate <PmtDt>	[1..1]	±		16
	CashMovementDetails <CshMvmntDtls>	[0..*]			16
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		16
	CashAccountIdentification <CshAcctId>	[0..1]	±		17

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C6	17
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C6	17
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C1, C6	18
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		18
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C6	19
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		19
	PaymentDate <PmtDt>	[1..1]	±		19
	DeliveringSettlementParties <DlvrgSttlmPties>	[0..1]	±	C16, C17	20
	ReceivingSettlementParties <RcvrgSttlmPties>	[0..1]	±	C16, C17	21
	SupplementaryData <SplmtryData>	[0..*]	±	C19	23

2.3 Constraints

C1 ActiveCurrency

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

C2 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.

2.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

2.4.1 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		8
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		8
	ProcessorTransactionIdentification <PrcrTxId>	[0..1]	Text		8
	RelatedSettlementInstructionIdentification <RltdSttlmInstrId>	[1..1]	Text		9

2.4.1.1 AccountServicerTransactionIdentification <AcctSvcrTxId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 142

2.4.1.2 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 142

2.4.1.3 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 142

2.4.1.4 RelatedSettlementInstructionIdentification <RltdSttlmInstrId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 142

2.4.2 CorporateActionGeneralInformation <CorpActnGnllnf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C14 "OfficialCorporateActionEventReferenceGuideline"

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		9
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		9
	EventType <EvtTp>	[1..1]	±	C9	10
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C7, C8, C11, C12, C15	10

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.

2.4.2.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 142

2.4.2.2 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 142

2.4.2.3 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 82 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		83
Or}	Proprietary <Prtry>	[1..1]	±		89

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.

2.4.2.4 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 73 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		74
	OtherIdentification <OthrId>	[0..*]			74
	Identification <Id>	[1..1]	Text		74
	Suffix <Sfx>	[0..1]	Text		74
	Type <Tp>	[1..1]	±		74
	Description <Desc>	[0..1]	Text		75

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

2.4.3 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 **Account33** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		12
	AccountOwner <AcctOwnr>	[0..1]	±		12
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		12

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.

2.4.3.1 SafekeepingAccount <SfkpgAcct>

Presence: [1..1]

Definition: Account where financial instruments are maintained.

Datatype: "Max35Text" on page 142

2.4.3.2 AccountOwner <AcctOwnr>

Presence: [0..1]

Definition: Party that legally owns the account.

AccountOwner <AcctOwnr> contains one of the following elements (see "PartyIdentification127Choice" on page 91 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	91
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		91

2.4.3.3 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 97 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			97
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		97
	Identification <Id>	[0..1]	Text		97
Or	Country <Ctry>	[1..1]	CodeSet	C5	98
Or	TypeAndIdentification <TpAndId>	[1..1]			98
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		98
	Identification <Id>	[1..1]	IdentifierSet	C4	98
Or}	Proprietary <Prtry>	[1..1]	±		99

2.4.4 MarketClaimDetails <MktCImDtls>

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		13
	OptionType <OptnTp>	[1..1]	±		13
	SecuritiesMovementDetails <SctiesMvmntDtIs>	[0..*]			14
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C7, C8, C11, C12, C15	14
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		15
	EntitledQuantity <EntitldQty>	[1..1]	±		15
	PaymentDate <PmtDt>	[1..1]	±		16
	CashMovementDetails <CshMvmntDtIs>	[0..*]			16
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		16
	CashAccountIdentification <CshAcctId>	[0..1]	±		17
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C6	17
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C6	17
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C1, C6	18
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		18
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C6	19
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		19
	PaymentDate <PmtDt>	[1..1]	±		19

Constraints

- **MovementDetailsRule**

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

2.4.4.1 OptionNumber <OptnNb>

Presence: [1..1]

Definition: Number identifying the available corporate action options.

Datatype: "Exact3NumericText" on page 141

2.4.4.2 OptionType <OptnTp>

Presence: [1..1]

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

OptionType <OptnTp> contains one of the following elements (see "[CorporateActionOption30Choice](#)" on page 80 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		80
Or}	Proprietary <Prtry>	[1..1]	±		81

2.4.4.3 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	14
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		15
	EntitledQuantity <EntitldQty>	[1..1]	±		15
	PaymentDate <PmtDt>	[1..1]	±		16

2.4.4.3.1 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 73 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		74
	OtherIdentification <OthrId>	[0..*]			74
	Identification <Id>	[1..1]	Text		74
	Suffix <Sfx>	[0..1]	Text		74
	Type <Tp>	[1..1]	±		74
	Description <Desc>	[0..1]	Text		75

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

2.4.4.3.2 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

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

Datatype: "CreditDebitCode" on page 134

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

2.4.4.3.3 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 75 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		76
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		76

2.4.4.3.4 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 72 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DateOrDateTime <DtOrDtTm>	[1..1]	±		72
Or}	DateCode <DtCd>	[1..1]	CodeSet		72

2.4.4.4 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		16
	CashAccountIdentification <CshAcctId>	[0..1]	±		17
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C6	17
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C6	17
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C1, C6	18
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		18
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C6	19
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		19
	PaymentDate <PmtDt>	[1..1]	±		19

2.4.4.4.1 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

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

Datatype: "[CreditDebitCode](#)" on page 134

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

2.4.4.4.2 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 70 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C10	70
Or}	Proprietary <Prtry>	[1..1]	Text		70

2.4.4.4.3 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 124

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

2.4.4.4.4 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 124

Constraints

- **ActiveCurrency**

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

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

2.4.4.4.5 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 124

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

2.4.4.4.6 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 94 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		95
Or	Amount <Amt>	[1..1]	Amount	C1	95
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			95
	RateType <RateTp>	[1..1]			96
{Or	Code <Cd>	[1..1]	CodeSet		96
Or}	Proprietary <Prtry>	[1..1]	±		96
	Rate <Rate>	[1..1]	Rate		96

2.4.4.4.7 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 124

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

2.4.4.4.8 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 72 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		73
Or}	DateTime <DtTm>	[1..1]	DateTime		73

2.4.4.4.9 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 70 for details)

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

2.4.5 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 99 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]		C2	101
	Identification <Id>	[1..1]			101
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	101
Or	NameAndAddress <NmAndAdr>	[1..1]	±		102
Or}	Country <Ctry>	[1..1]	CodeSet	C5	102
	ProcessingIdentification <Prcgld>	[0..1]	Text		102
	AlternateIdentification <Altrnid>	[0..*]	±		102
	Party1 <Pty1>	[0..1]		C3	103
	Identification <Id>	[1..1]	±		103
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		103
	ProcessingIdentification <Prcgld>	[0..1]	Text		104
	AlternateIdentification <Altrnid>	[0..*]	±		104
	Party2 <Pty2>	[0..1]		C3	104
	Identification <Id>	[1..1]	±		104
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		105
	ProcessingIdentification <Prcgld>	[0..1]	Text		105
	AlternateIdentification <Altrnid>	[0..*]	±		105
	Party3 <Pty3>	[0..1]		C3	105
	Identification <Id>	[1..1]	±		106
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		106
	ProcessingIdentification <Prcgld>	[0..1]	Text		106
	AlternateIdentification <Altrnid>	[0..*]	±		106

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

2.4.6 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 99 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]		C2	101
	Identification <Id>	[1..1]			101
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	101
Or	NameAndAddress <NmAndAdr>	[1..1]	±		102
Or}	Country <Ctry>	[1..1]	CodeSet	C5	102
	ProcessingIdentification <Prcgld>	[0..1]	Text		102
	AlternatIdentification <Altrnld>	[0..*]	±		102
	Party1 <Pty1>	[0..1]		C3	103
	Identification <Id>	[1..1]	±		103
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		103
	ProcessingIdentification <Prcgld>	[0..1]	Text		104
	AlternatIdentification <Altrnld>	[0..*]	±		104
	Party2 <Pty2>	[0..1]		C3	104
	Identification <Id>	[1..1]	±		104
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		105
	ProcessingIdentification <Prcgld>	[0..1]	Text		105
	AlternatIdentification <Altrnld>	[0..*]	±		105
	Party3 <Pty3>	[0..1]		C3	105
	Identification <Id>	[1..1]	±		106
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		106
	ProcessingIdentification <Prcgld>	[0..1]	Text		106
	AlternatIdentification <Altrnld>	[0..*]	±		106

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

2.4.7 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: C19 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "[SupplementaryData1](#)" on page 81 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		82
	Envelope <Envlp>	[1..1]	(External Schema)		82

Constraints

- **SupplementaryDataRule**

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

3 DRAFT1seev.051.001.01 MarketClaimCancellationRequestV01

3.1 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 4 MessageBuildingBlocks:

- A. MarketClaimCreationIdentification
Identification of the related market claim creation document for which the cancellation is requested.
- 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.

3.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <MktClnCxlReq>	[1..1]			
	MarketClaimCreationIdentification <MktClnCreld>	[1..1]	±		26
	TransactionReference <TxRef>	[1..1]			27
	AccountServicerTransactionIdentification <AcctSvcrTxld>	[1..1]	Text		27
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxld>	[0..1]	Text		27
	ProcessorTransactionIdentification <PrctrTxld>	[0..1]	Text		27
	CorporateActionGeneralInformation <CorpActnGnllnf>	[1..1]		C8	27
	CorporateActionEventIdentification <CorpActnEvtld>	[1..1]	Text		28
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtld>	[0..1]	Text		28
	EventType <EvtTp>	[1..1]	±	C5	28
	FinancialInstrumentIdentification <FinInstrmld>	[0..1]	±	C3, C4, C6, C7, C9	29
	AccountDetails <AcctDtls>	[1..1]		C10	30
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		30
	AccountOwner <AcctOwnr>	[0..1]	±		30
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		31

3.3 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.

3.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

3.4.1 MarketClaimCreationIdentification <MktClmCreId>

Presence: [1..1]

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

MarketClaimCreationIdentification <MktClmCreId> contains the following elements (see "[DocumentIdentification9](#)" on page 79 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		79

3.4.2 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		27
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		27
	ProcessorTransactionIdentification <PrctrTxId>	[0..1]	Text		27

3.4.2.1 AccountServicerTransactionIdentification <AcctSvcrTxId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 142

3.4.2.2 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 142

3.4.2.3 ProcessorTransactionIdentification <PrctrTxId>

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 142

3.4.3 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		28
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		28
	EventType <EvtTp>	[1..1]	±	C5	28
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C3, C4, C6, C7, C9	29

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.

3.4.3.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 142

3.4.3.2 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 142

3.4.3.3 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 82 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		83
Or}	Proprietary <Prtry>	[1..1]	±		89

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.

3.4.3.4 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 73 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		74
	OtherIdentification <OthrId>	[0..*]			74
	Identification <Id>	[1..1]	Text		74
	Suffix <Sfx>	[0..1]	Text		74
	Type <Tp>	[1..1]	±		74
	Description <Desc>	[0..1]	Text		75

Constraints

- **DescriptionPresenceRule**

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

```

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

```

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

3.4.4 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 **Account33** 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 142

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 91 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	91
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		91

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 97 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			97
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		97
	Identification <Id>	[0..1]	Text		97
Or	Country <Ctry>	[1..1]	CodeSet	C5	98
Or	TypeAndIdentification <TpAndId>	[1..1]			98
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		98
	Identification <Id>	[1..1]	IdentifierSet	C4	98
Or}	Proprietary <Prtry>	[1..1]	±		99

4 DRAFT1seev.052.001.01 MarketClaimStatusAdviceV01

4.1 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 5 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. MarketClaimProcessingStatus
Status information about the processing of the market claim transaction.
- E. MarketClaimDetails
Details of the market claim transaction for which a status is provided.

4.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <MktClnStsAdv>	[1..1]			
	MarketClaimCreationIdentification <MktClnCreId>	[0..1]	±		36
	TransactionReference <TxRef>	[1..1]			36
	AccountServicerTransactionIdentification <AcctSvcrTxId>	[1..1]	Text		36
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		36
	ProcessorTransactionIdentification <PrctrTxId>	[0..1]	Text		37
	CorporateActionGeneralInformation <CorpActnGnlInf>	[1..1]		C15	37
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		37
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		37
	EventType <EvtTp>	[1..1]	±	C10	38
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C8, C9, C12, C13, C16	38
	MarketClaimProcessingStatus <MktClnPrcgSts>	[1..1]			39
{Or	Cancelled <Canc>	[1..1]	±		40
Or	AcceptedForFurtherProcessing <AccptdForFrthrPrcg>	[1..1]	±		40
Or	Rejected <Rjctd>	[1..1]	±		41
Or	Pending <Pdg>	[1..1]	±		41
Or	MatchingStatus <MtchgSts>	[0..1]			42
{Or	Matched <Mtchd>	[1..1]	±	C6	42
Or	Unmatched <Umtchd>	[1..1]			42
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		43
Or}	Reason <Rsn>	[1..*]			43
	Code <Cd>	[1..1]			43
{Or	Code <Cd>	[1..1]	CodeSet		44
Or}	Proprietary <Prtry>	[1..1]	±		44
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		44
Or}	Proprietary <Prtry>	[1..1]	±		45
Or}	ProprietaryStatus <PrtrySts>	[1..1]	±		45
	MarketClaimDetails <MktClnDtls>	[0..1]		C14	45

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	OptionNumber <OptnNb>	[1..1]	Text		46
	OptionType <OptnTp>	[1..1]	±		46
	SecuritiesMovementDetails <SctiesMvmntDtls>	[0..*]			47
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C8, C9, C12, C13, C16	47
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		48
	EntitledQuantity <EntitldQty>	[1..1]	±		48
	PaymentDate <PmtDt>	[1..1]	±		49
	CashMovementDetails <CshMvmntDtls>	[0..*]			49
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		49
	CashAccountIdentification <CshAcctId>	[0..1]	±		50
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C7	50
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C7	50
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C1, C7	51
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		51
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C7	52
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		52
	PaymentDate <PmtDt>	[1..1]	±		52

4.3 Constraints

C1 ActiveCurrency

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

C2 AdditionalReasonInformationRule

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 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.

4.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

4.4.1 MarketClaimCreationIdentification <MktClmCred>

Presence: [0..1]

Definition: Identification of a related instruction document.

MarketClaimCreationIdentification <MktClmCred> contains the following elements (see "DocumentIdentification9" on page 79 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		79

4.4.2 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		36
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		36
	ProcessorTransactionIdentification <PrctrTxId>	[0..1]	Text		37

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 142

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 142

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 142

4.4.3 CorporateActionGeneralInformation <CorpActnGnllnf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C15 "OfficialCorporateActionEventReferenceGuideline"

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		37
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		37
	EventType <EvtTp>	[1..1]	±	C10	38
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C8, C9, C12, C13, C16	38

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 142

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 142

4.4.3.3 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 82 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		83
Or}	Proprietary <Prtry>	[1..1]	±		89

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

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 73 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		74
	OtherIdentification <OthrId>	[0..*]			74
	Identification <Id>	[1..1]	Text		74
	Suffix <Sfx>	[0..1]	Text		74
	Type <Tp>	[1..1]	±		74
	Description <Desc>	[0..1]	Text		75

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 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]	±		40
Or	AcceptedForFurtherProcessing <AccptdForFrthrPrcg>	[1..1]	±		40
Or	Rejected <Rjctd>	[1..1]	±		41
Or	Pending <Pdg>	[1..1]	±		41
Or	MatchingStatus <MtchgSts>	[0..1]			42
{Or	Matched <Mtchd>	[1..1]	±	C6	42
Or	Unmatched <Umtchd>	[1..1]			42
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		43
Or}	Reason <Rsn>	[1..*]			43
	Code <Cd>	[1..1]			43
{Or	Code <Cd>	[1..1]	CodeSet		44
Or}	Proprietary <Prtry>	[1..1]	±		44
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		44
Or}	Proprietary <Prtry>	[1..1]	±		45
Or}	ProprietaryStatus <PrtrySts>	[1..1]	±		45

4.4.4.1 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 120 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		121
Or}	Reason <Rsn>	[1..*]		C2	121
	ReasonCode <RsnCd>	[1..1]			121
{Or	Code <Cd>	[1..1]	CodeSet		122
Or}	Proprietary <Prtry>	[1..1]	±		122
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		122

4.4.4.2 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 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		119
Or}	Reason <Rsn>	[1..*]		C3	119
	ReasonCode <RsnCd>	[1..1]			119
{Or	Code <Cd>	[1..1]	CodeSet		120
Or}	Proprietary <Prtry>	[1..1]	±		120
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		120

4.4.4.3 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 elements (see "RejectedStatus37Choice" on page 111 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		111
Or}	Reason <Rsn>	[1..*]		C4	111
	ReasonCode <RsnCd>	[1..1]			112
{Or	Code <Cd>	[1..1]	CodeSet		112
Or}	Proprietary <Prtry>	[1..1]	±		113
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		113

4.4.4.4 Pending <Pdg>

Presence: [1..1]

Definition: Provides status information related to a pending instruction.

Pending <Pdg> contains one of the following elements (see "PendingStatus63Choice" on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		113
Or}	Reason <Rsn>	[1..*]	±	C5	114

4.4.4.5 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	42
Or	Unmatched <Umtchd>	[1..1]			42
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		43
Or}	Reason <Rsn>	[1..*]			43
	Code <Cd>	[1..1]			43
{Or	Code <Cd>	[1..1]	CodeSet		44
Or}	Proprietary <Prtry>	[1..1]	±		44
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		44
Or}	Proprietary <Prtry>	[1..1]	±		45

4.4.4.5.1 Matched <Mtchd>

Presence: [1..1]

Definition: Status is matched.

Impacted by: C6 "AdditionalReasonInformationRule"

Matched <Mtchd> contains the following elements (see "ProprietaryReason4" on page 116 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	±		116
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		116

Constraints

- **AdditionalReasonInformationRule**

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

4.4.4.5.2 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 <NoSpdfdRsn>	[1..1]	CodeSet		43
Or}	Reason <Rsn>	[1..*]			43
	Code <Cd>	[1..1]			43
{Or	Code <Cd>	[1..1]	CodeSet		44
Or}	Proprietary <Prtry>	[1..1]	±		44
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		44

4.4.4.5.2.1 NoSpecifiedReason <NoSpdfdRsn>

Presence: [1..1]

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

Datatype: "NoReasonCode" on page 135

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

4.4.4.5.2.2 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]			43
{Or	Code <Cd>	[1..1]	CodeSet		44
Or}	Proprietary <Prtry>	[1..1]	±		44
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		44

4.4.4.5.2.2.1 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		44
Or}	Proprietary <Prtry>	[1..1]	±		44

4.4.4.5.2.2.1.1 Code <Cd>*Presence:* [1..1]*Definition:* Specifies the reason why the instruction has an unmatched status.*Datatype:* "UnmatchedReason16Code" on page 138

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.

4.4.4.5.2.2.1.2 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

4.4.4.5.2.2.2 AdditionalReasonInformation <AddtlRsnInf>*Presence:* [0..1]*Definition:* Provides additional reason information that cannot be provided in a structured field.*Datatype:* "Max210Text" on page 142

4.4.4.5.3 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary status.

Proprietary <Prtry> contains the following elements (see "[ProprietaryStatusAndReason6](#)" on page 122 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		123
	ProprietaryReason <PrtryRsn>	[0..*]	±	C6	123

4.4.4.6 ProprietaryStatus <PrtrySts>

Presence: [1..1]

Definition: Proprietary status related to an instruction.

ProprietaryStatus <PrtrySts> contains the following elements (see "[ProprietaryStatusAndReason6](#)" on page 122 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		123
	ProprietaryReason <PrtryRsn>	[0..*]	±	C6	123

4.4.5 MarketClaimDetails <MktCImDtls>

Presence: [0..1]

Definition: Details of the market claim transaction for which a status is provided.

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		46
	OptionType <OptnTp>	[1..1]	±		46
	SecuritiesMovementDetails <SctiesMvmntDtIs>	[0..*]			47
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C8, C9, C12, C13, C16	47
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		48
	EntitledQuantity <EntitldQty>	[1..1]	±		48
	PaymentDate <PmtDt>	[1..1]	±		49
	CashMovementDetails <CshMvmntDtIs>	[0..*]			49
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		49
	CashAccountIdentification <CshAcctId>	[0..1]	±		50
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C7	50
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C7	50
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C1, C7	51
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		51
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C7	52
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		52
	PaymentDate <PmtDt>	[1..1]	±		52

Constraints

- **MovementDetailsRule**

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

4.4.5.1 OptionNumber <OptnNb>

Presence: [1..1]

Definition: Number identifying the available corporate action options.

Datatype: "Exact3NumericText" on page 141

4.4.5.2 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 80 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		80
Or}	Proprietary <Prtry>	[1..1]	±		81

4.4.5.3 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	47
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		48
	EntitledQuantity <EntitldQty>	[1..1]	±		48
	PaymentDate <PmtDt>	[1..1]	±		49

4.4.5.3.1 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 73 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		74
	OtherIdentification <OthrId>	[0..*]			74
	Identification <Id>	[1..1]	Text		74
	Suffix <Sfx>	[0..1]	Text		74
	Type <Tp>	[1..1]	±		74
	Description <Desc>	[0..1]	Text		75

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
```

4.4.5.3.2 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

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

Datatype: "CreditDebitCode" on page 134

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

4.4.5.3.3 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 75 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		76
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		76

4.4.5.3.4 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 72 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DateOrDateTime <DtOrDtTm>	[1..1]	±		72
Or}	DateCode <DtCd>	[1..1]	CodeSet		72

4.4.5.4 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		49
	CashAccountIdentification <CshAcctId>	[0..1]	±		50
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C7	50
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C7	50
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C1, C7	51
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		51
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C7	52
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		52
	PaymentDate <PmtDt>	[1..1]	±		52

4.4.5.4.1 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

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

Datatype: "[CreditDebitCode](#)" on page 134

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

4.4.5.4.2 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 70 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C10	70
Or}	Proprietary <Prtry>	[1..1]	Text		70

4.4.5.4.3 GrossCashAmount <GrssCshAmt>

Presence: [0..1]

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

Impacted by: C1 "ActiveCurrency", C7 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 124

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

4.4.5.4.4 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: C1 "ActiveCurrency", C7 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 124

Constraints

- **ActiveCurrency**

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

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

4.4.5.4.5 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: C1 "ActiveCurrency", C7 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 124

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

4.4.5.4.6 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 94 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		95
Or	Amount <Amt>	[1..1]	Amount	C1	95
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			95
	RateType <RateTp>	[1..1]			96
{Or	Code <Cd>	[1..1]	CodeSet		96
Or}	Proprietary <Prtry>	[1..1]	±		96
	Rate <Rate>	[1..1]	Rate		96

4.4.5.4.7 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: C1 "ActiveCurrency", C7 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 124

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

4.4.5.4.8 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 72 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		73
Or}	DateTime <DtTm>	[1..1]	DateTime		73

4.4.5.4.9 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 70 for details)

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

5 DRAFT1seev.053.001.01 MarketClaimCancellationRequestStatusAdviceV01

5.1 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 5 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.

5.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <MktClnCxlReqStsAdv>	[1..1]			
	MarketClaimCancellationRequestIdentification <MktClnCxlReqId>	[1..1]	±		56
	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]		C15	57
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		58
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		58
	EventType <EvtTp>	[1..1]	±	C10	58
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C8, C9, C12, C13, C16	59
	MarketClaimCancellationRequestStatus <MktClnCxlReqSts>	[1..1]			60
{Or	CancellationCompleted <CxlCmpltd>	[1..1]	±		60
Or	Accepted <Accptd>	[1..1]	±		61
Or	Rejected <Rjctd>	[1..1]	±		61
Or	PendingCancellation <PdgCxl>	[1..1]	±		61
Or}	ProprietaryStatus <PrtrySts>	[1..1]	±		62
	MarketClaimDetails <MktClnDtls>	[0..1]		C14	62
	OptionNumber <OptnNb>	[1..1]	Text		63
	OptionType <OptnTp>	[1..1]	±		63
	SecuritiesMovementDetails <SctiesMvmntDtls>	[0..*]			64
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C8, C9, C12, C13, C16	64
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		65
	EntitledQuantity <EntitldQty>	[1..1]	±		65
	PaymentDate <PmtDt>	[1..1]	±		66
	CashMovementDetails <CshMvmntDtls>	[0..*]			66

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		66
	CashAccountIdentification <CshAcctId>	[0..1]	±		67
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C2, C7	67
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C2, C7	67
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C2, C7	68
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		68
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C2, C7	69
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		69
	PaymentDate <PmtDt>	[1..1]	±		69

5.3 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.

5.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

5.4.1 MarketClaimCancellationRequestIdentification <MktCImCxlReqId>

Presence: [1..1]

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

MarketClaimCancellationRequestIdentification <MktCmCxlReqId> contains the following elements (see "DocumentIdentification9" on page 79 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification </Id>	[1..1]	Text		79

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 142

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 142

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 142

5.4.3 CorporateActionGeneralInformation <CorpActnGnllnf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C15 "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]	±	C10	58
	FinancialInstrumentIdentification <FinInstrmld>	[0..1]	±	C8, C9, C12, C13, C16	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 142

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 142

5.4.3.3 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 82 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		83
Or}	Proprietary <Prtry>	[1..1]	±		89

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

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 73 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		74
	OtherIdentification <OthrId>	[0..*]			74
	Identification <Id>	[1..1]	Text		74
	Suffix <Sfx>	[0..1]	Text		74
	Type <Tp>	[1..1]	±		74
	Description <Desc>	[0..1]	Text		75

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 MarketClaimCancellationRequestStatus <MktCImCxlReqSts>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CancellationCompleted <CxlCmpltd>	[1..1]	±		60
Or	Accepted <Accptd>	[1..1]	±		61
Or	Rejected <Rjctd>	[1..1]	±		61
Or	PendingCancellation <PdgCxl>	[1..1]	±		61
Or}	ProprietaryStatus <PrtrySts>	[1..1]	±		62

5.4.4.1 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 117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		117
Or}	Reason <Rsn>	[1..*]		C3	117
	ReasonCode <RsnCd>	[1..1]			117
{Or	Code <Cd>	[1..1]	CodeSet		118
Or}	Proprietary <Prtry>	[1..1]	±		118
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		118

5.4.4.2 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 107 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		107

5.4.4.3 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 elements (see "RejectedStatus38Choice" on page 109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		109
Or}	Reason <Rsn>	[1..*]		C4	109
	ReasonCode <RsnCd>	[1..1]			110
{Or	Code <Cd>	[1..1]	CodeSet		110
Or}	Proprietary <Prtry>	[1..1]	±		111
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		111

5.4.4.4 PendingCancellation <PdgCxl>

Presence: [1..1]

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

PendingCancellation <Pdgcxl> contains one of the following elements (see "PendingCancellationStatus11Choice" on page 107 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NotSpecifiedReason <NotSpcedRsn>	[1..1]	CodeSet		107
Or}	Reason <Rsn>	[1..*]		C1, C5	107
	ReasonCode <RsnCd>	[1..1]			108
{Or	Code <Cd>	[1..1]	CodeSet		108
Or}	Proprietary <Prtry>	[1..1]	±		108
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		109

5.4.4.5 ProprietaryStatus <PrtrySts>

Presence: [1..1]

Definition: Proprietary status related to an instruction cancellation request.

ProprietaryStatus <PrtrySts> contains the following elements (see "ProprietaryStatusAndReason6" on page 122 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		123
	ProprietaryReason <PrtryRsn>	[0..*]	±	C6	123

5.4.5 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		63
	OptionType <OptnTp>	[1..1]	±		63
	SecuritiesMovementDetails <SctiesMvmntDtIs>	[0..*]			64
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C8, C9, C12, C13, C16	64
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		65
	EntitledQuantity <EntitldQty>	[1..1]	±		65
	PaymentDate <PmtDt>	[1..1]	±		66
	CashMovementDetails <CshMvmntDtIs>	[0..*]			66
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		66
	CashAccountIdentification <CshAcctId>	[0..1]	±		67
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C2, C7	67
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C2, C7	67
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C2, C7	68
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		68
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C2, C7	69
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		69
	PaymentDate <PmtDt>	[1..1]	±		69

Constraints

- **MovementDetailsRule**

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

5.4.5.1 OptionNumber <OptnNb>

Presence: [1..1]

Definition: Number identifying the available corporate action options.

Datatype: "Exact3NumericText" on page 141

5.4.5.2 OptionType <OptnTp>

Presence: [1..1]

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

OptionType <OptnTp> contains one of the following elements (see ["CorporateActionOption30Choice"](#) on page 80 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		80
Or}	Proprietary <Prtry>	[1..1]	±		81

5.4.5.3 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	64
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		65
	EntitledQuantity <EntitldQty>	[1..1]	±		65
	PaymentDate <PmtDt>	[1..1]	±		66

5.4.5.3.1 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 73 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		74
	OtherIdentification <OthrId>	[0..*]			74
	Identification <Id>	[1..1]	Text		74
	Suffix <Sfx>	[0..1]	Text		74
	Type <Tp>	[1..1]	±		74
	Description <Desc>	[0..1]	Text		75

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
```

5.4.5.3.2 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

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

Datatype: "CreditDebitCode" on page 134

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

5.4.5.3.3 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 75 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		76
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		76

5.4.5.3.4 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 72 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DateOrDateTime <DtOrDtTm>	[1..1]	±		72
Or}	DateCode <DtCd>	[1..1]	CodeSet		72

5.4.5.4 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		66
	CashAccountIdentification <CshAcctId>	[0..1]	±		67
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C2, C7	67
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C2, C7	67
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C2, C7	68
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		68
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C2, C7	69
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		69
	PaymentDate <PmtDt>	[1..1]	±		69

5.4.5.4.1 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

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

Datatype: "[CreditDebitCode](#)" on page 134

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

5.4.5.4.2 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 70 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C10	70
Or}	Proprietary <Prtry>	[1..1]	Text		70

5.4.5.4.3 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 124

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

5.4.5.4.4 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 124

Constraints

- **ActiveCurrency**

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

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

5.4.5.4.5 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 124

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

5.4.5.4.6 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 94 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		95
Or	Amount <Amt>	[1..1]	Amount	C1	95
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			95
	RateType <RateTp>	[1..1]			96
{Or	Code <Cd>	[1..1]	CodeSet		96
Or}	Proprietary <Prtry>	[1..1]	±		96
	Rate <Rate>	[1..1]	Rate		96

5.4.5.4.7 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 124

Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

5.4.5.4.8 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 72 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		73
Or}	DateTime <DtTm>	[1..1]	DateTime		73

5.4.5.4.9 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 70 for details)

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

6 Message Items Types

6.1 MessageComponents

6.1.1 Account Identification

6.1.1.1 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	70
Or}	Proprietary <Prtry>	[1..1]	Text		70

6.1.1.1.1 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 140

Constraints

- **IBAN**

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

6.1.1.1.2 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 142

6.1.2 Date Time

6.1.2.1 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]	±		71
Or}	DateCode <DtCd>	[1..1]			71
{Or	Code <Cd>	[1..1]	CodeSet		71
Or}	Proprietary <Prtry>	[1..1]	±		71

6.1.2.1.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Date <Dt> contains one of the following elements (see ["DateAndDateTime2Choice"](#) on page 72 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		73
Or}	DateTime <DtTm>	[1..1]	DateTime		73

6.1.2.1.2 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		71
Or}	Proprietary <Prtry>	[1..1]	±		71

6.1.2.1.2.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of date.

Datatype: ["DateType8Code"](#) on page 134

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".

6.1.2.1.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.2.2 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]	±		72
Or}	DateCode <DtCd>	[1..1]	CodeSet		72

6.1.2.2.1 DateOrDateTime <DtOrDtTm>

Presence: [1..1]

Definition: Date expressed as a calendar date.

DateOrDateTime <DtOrDtTm> contains one of the following elements (see "[DateAndDateTime2Choice](#)" on page 72 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		73
Or}	DateTime <DtTm>	[1..1]	DateTime		73

6.1.2.2.2 DateCode <DtCd>

Presence: [1..1]

Definition: Type of date.

Datatype: "[DateType1Code](#)" on page 134

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

6.1.2.3 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		73
Or}	DateTime <DtTm>	[1..1]	DateTime		73

6.1.2.3.1 Date <Dt>

Presence: [1..1]

Definition: Specified date.

Datatype: "ISODate" on page 139

6.1.2.3.2 DateTime <DtTm>

Presence: [1..1]

Definition: Specified date and time.

Datatype: "ISODatetime" on page 139

6.1.3 Financial Instrument

6.1.3.1 SecurityIdentification19

Definition: Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		74
	OtherIdentification <OthrId>	[0..*]			74
	Identification <Id>	[1..1]	Text		74
	Suffix <Sfx>	[0..1]	Text		74
	Type <Tp>	[1..1]	±		74
	Description <Desc>	[0..1]	Text		75

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

6.1.3.1.1 ISIN <ISIN>

Presence: [0..1]

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

Datatype: "ISINOct2015Identifier" on page 140

6.1.3.1.2 OtherIdentification <Othrid>

Presence: [0..*]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		74
	Suffix <Sfx>	[0..1]	Text		74
	Type <Tp>	[1..1]	±		74

6.1.3.1.2.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security.

Datatype: "Max35Text" on page 142

6.1.3.1.2.2 Suffix <Sfx>

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: "Max16Text" on page 142

6.1.3.1.2.3 Type <Tp>

Presence: [1..1]

Definition: Type of the identification.

Type <Tp> contains one of the following elements (see ["IdentificationSource3Choice"](#) on page 76 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		76
Or}	Proprietary <Prtry>	[1..1]	Text		77

6.1.3.1.3 Description <Desc>

Presence: [0..1]

Definition: Textual description of a security instrument.

Datatype: ["Max140Text"](#) on page 141

6.1.4 Financial Instrument Quantity

6.1.4.1 FinancialInstrumentQuantity1Choice

Definition: Choice between formats for the quantity of security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		75
Or	FaceAmount <FaceAmt>	[1..1]	Amount		75
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		75

6.1.4.1.1 Unit <Unit>

Presence: [1..1]

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

Datatype: ["DecimalNumber"](#) on page 140

6.1.4.1.2 FaceAmount <FaceAmt>

Presence: [1..1]

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

Datatype: ["ImpliedCurrencyAndAmount"](#) on page 125

6.1.4.1.3 AmortisedValue <AmtsdVal>

Presence: [1..1]

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

Datatype: ["ImpliedCurrencyAndAmount"](#) on page 125

6.1.4.2 Quantity6Choice

Definition: Choice of format for the quantity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		76
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		76

6.1.4.2.1 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 75 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		75
Or	FaceAmount <FaceAmt>	[1..1]	Amount		75
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		75

6.1.4.2.2 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 99 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FaceAmount <FaceAmt>	[1..1]	Amount		99
	AmortisedValue <AmtsdVal>	[1..1]	Amount		99

6.1.5 Identification Information

6.1.5.1 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		76
Or}	Proprietary <Prtry>	[1..1]	Text		77

6.1.5.1.1 Code <Cd>

Presence: [1..1]

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

Datatype: "[ExternalFinancialInstrumentIdentificationType1Code](#)" on page 134

6.1.5.1.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: "Max35Text" on page 142

6.1.5.2 GenericIdentification78

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		77
	Identification <Id>	[0..1]	Text		77

6.1.5.2.1 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.5.2.2 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 142

6.1.5.3 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		77
Or}	Proprietary <Prtry>	[1..1]	±		78

6.1.5.3.1 Code <Cd>

Presence: [1..1]

Definition: Type of identification is defined using a code.

Datatype: "TypeOfIdentification1Code" on page 137

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.

6.1.5.3.2 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.5.4 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		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.5.4.1 Identification <Id>

Presence: [1..1]

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

Datatype: "[Exact4AlphaNumericText](#)" on page 141

6.1.5.4.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 142

6.1.5.4.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: "Max35Text" on page 142

6.1.5.5 GenericIdentification36

Definition: Identification using a proprietary scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		79
	Issuer <Issr>	[1..1]	Text		79
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.5.5.1 Identification <Id>

Presence: [1..1]

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

Datatype: "Max35Text" on page 142

6.1.5.5.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 142

6.1.5.5.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: "Max35Text" on page 142

6.1.5.6 DocumentIdentification9

Definition: Identifies a document by a unique identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		79

6.1.5.6.1 Identification <Id>

Presence: [1..1]

Definition: Identifies the document.

Datatype: "Max35Text" on page 142

6.1.6 Market

6.1.6.1 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		80
Or}	Proprietary <Prtry>	[1..1]	±		81

6.1.6.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of corporate action options.

Datatype: "CorporateActionOption11Code" on page 132

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.

CodeName	Name	Definition
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.

6.1.6.1.2 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.7 Miscellaneous

6.1.7.1 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		82
	Envelope <Envlp>	[1..1]	(External Schema)		82

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.

6.1.7.1.1 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 142

6.1.7.1.2 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.

6.1.7.2 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		83
Or}	Proprietary <Prtry>	[1..1]	±		89

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.

6.1.7.2.1 Code <Cd>

Presence: [1..1]

Definition: Event types expressed as a code.

Datatype: "CorporateActionEventType29Code" on page 126

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.
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

CodeName	Name	Definition
		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. 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.

CodeName	Name	Definition
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 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.

CodeName	Name	Definition
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.
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,

CodeName	Name	Definition
		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.
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.

CodeName	Name	Definition
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.
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.

6.1.7.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Event types expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.8 Party Identification

6.1.8.1 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]	±		89
	Country <Ctry>	[1..1]	CodeSet	C5	89
	AlternateIdentification <AltrId>	[1..1]	Text		90

6.1.8.1.1 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 77 for details)

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

6.1.8.1.2 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: C5 "Country"

Datatype: "[CountryCode](#)" on page 133

Constraints

- **Country**

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

6.1.8.1.3 AlternateIdentification <AltrnId>

Presence: [1..1]

Definition: Alternate identification for a party.

Datatype: "Max35Text" on page 142

6.1.8.2 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	C4	90
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		90
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		91

6.1.8.2.1 AnyBIC <AnyBIC>

Presence: [1..1]

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

Impacted by: C4 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 139

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.

6.1.8.2.2 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 79 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		79
	Issuer <Issr>	[1..1]	Text		79
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.8.2.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see "[NameAndAddress5](#)" on page 92 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		92
	Address <Adr>	[0..1]	±		92

6.1.8.3 PartyIdentification127Choice

Definition: Choice of identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	91
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		91

6.1.8.3.1 AnyBIC <AnyBIC>

Presence: [1..1]

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

Impacted by: C4 "AnyBIC"

Datatype: "[AnyBICDec2014Identifier](#)" on page 139

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.

6.1.8.3.2 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 79 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		79
	Issuer <Issr>	[1..1]	Text		79
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.9 Postal Address

6.1.9.1 NameAndAddress5

Definition: Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		92
	Address <Adr>	[0..1]	±		92

6.1.9.1.1 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 142

6.1.9.1.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

Address <Adr> contains the following elements (see "[PostalAddress1](#)" on page 93 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		93
	AddressLine <AdrLine>	[0..5]	Text		93
	StreetName <StrtNm>	[0..1]	Text		93
	BuildingNumber <BldgNb>	[0..1]	Text		94
	PostCode <PstCd>	[0..1]	Text		94
	TownName <TwnNm>	[0..1]	Text		94
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		94
	Country <Ctry>	[1..1]	CodeSet	C5	94

6.1.9.2 PostalAddress1

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		93
	AddressLine <AdrLine>	[0..5]	Text		93
	StreetName <StrtNm>	[0..1]	Text		93
	BuildingNumber <BldgNb>	[0..1]	Text		94
	PostCode <PstCd>	[0..1]	Text		94
	TownName <TwnNm>	[0..1]	Text		94
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		94
	Country <Ctry>	[1..1]	CodeSet	C5	94

6.1.9.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 125

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.

6.1.9.2.2 AddressLine <AdrLine>

Presence: [0..5]

Definition: Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

Datatype: "Max70Text" on page 143

6.1.9.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 143

6.1.9.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

Definition: Number that identifies the position of a building on a street.

Datatype: "Max16Text" on page 142

6.1.9.2.5 PostCode <PstCd>

Presence: [0..1]

Definition: Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

Datatype: "Max16Text" on page 142

6.1.9.2.6 TownName <TwnNm>

Presence: [0..1]

Definition: Name of a built-up area, with defined boundaries, and a local government.

Datatype: "Max35Text" on page 142

6.1.9.2.7 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

Definition: Identifies a subdivision of a country for example, state, region, county.

Datatype: "Max35Text" on page 142

6.1.9.2.8 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C5 "Country"

Datatype: "CountryCode" on page 133

Constraints

- **Country**

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

6.1.10 Rate

6.1.10.1 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		95
Or	Amount <Amt>	[1..1]	Amount	C1	95
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			95
	RateType <RateTp>	[1..1]			96
{Or	Code <Cd>	[1..1]	CodeSet		96
Or}	Proprietary <Prtry>	[1..1]	±		96
	Rate <Rate>	[1..1]	Rate		96

6.1.10.1.1 Rate <Rate>

Presence: [1..1]

Definition: Value expressed as a rate.

Datatype: "PercentageRate" on page 141

6.1.10.1.2 Amount <Amt>

Presence: [1..1]

Definition: Value is expressed as a currency and amount.

Impacted by: C1 "ActiveCurrency"

Datatype: "ActiveCurrencyAnd13DecimalAmount" on page 123

Constraints

- **ActiveCurrency**

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

6.1.10.1.3 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]			96
{Or	Code <Cd>	[1..1]	CodeSet		96
Or}	Proprietary <Prtry>	[1..1]	±		96
	Rate <Rate>	[1..1]	Rate		96

6.1.10.1.3.1 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		96
Or}	Proprietary <Prtry>	[1..1]	±		96

6.1.10.1.3.1.1 Code <Cd>*Presence:* [1..1]*Definition:* Standard code to specify the type of withholding tax rate.*Datatype:* "WithholdingTaxRateType1Code" on page 138

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).

6.1.10.1.3.1.2 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.10.1.3.2 Rate <Rate>*Presence:* [1..1]*Definition:* Value expressed as a rate.*Datatype:* "PercentageRate" on page 141

6.1.11 Safekeeping Place

6.1.11.1 SafekeepingPlaceFormat28Choice

Definition: Choice of formats for a place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			97
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		97
	Identification <Id>	[0..1]	Text		97
Or	Country <Ctry>	[1..1]	CodeSet	C5	98
Or	TypeAndIdentification <TpAndId>	[1..1]			98
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		98
	Identification <Id>	[1..1]	IdentifierSet	C4	98
Or}	Proprietary <Prtry>	[1..1]	±		99

6.1.11.1.1 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		97
	Identification <Id>	[0..1]	Text		97

6.1.11.1.1.1 SafekeepingPlaceType <SfkpgPlcTp>

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: "SafekeepingPlace2Code" on page 137

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.

6.1.11.1.1.2 Identification <Id>

Presence: [0..1]

Definition: Additional information about the place of safekeeping.

Datatype: "Max35Text" on page 142

6.1.11.1.2 Country <Ctry>

Presence: [1..1]

Definition: Place of safekeeping expressed with a country code.

Impacted by: C5 "Country"

Datatype: "CountryCode" on page 133

Constraints

- **Country**

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

6.1.11.1.3 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		98
	Identification <Id>	[1..1]	IdentifierSet	C4	98

6.1.11.1.3.1 SafekeepingPlaceType <SfkpgPlcTp>

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: "SafekeepingPlace1Code" on page 137

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.

6.1.11.1.3.2 Identification <Id>

Presence: [1..1]

Definition: Place of safekeeping.

Impacted by: C4 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 139

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.

6.1.11.1.4 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 77 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		77
	Identification <Id>	[0..1]	Text		77

6.1.12 Securities Quantity**6.1.12.1 OriginalAndCurrentQuantities1**

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FaceAmount <FaceAmt>	[1..1]	Amount		99
	AmortisedValue <AmtsdVal>	[1..1]	Amount		99

6.1.12.1.1 FaceAmount <FaceAmt>

Presence: [1..1]

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

Datatype: "[ImpliedCurrencyAndAmount](#)" on page 125

6.1.12.1.2 AmortisedValue <AmtsdVal>

Presence: [1..1]

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

Datatype: "[ImpliedCurrencyAndAmount](#)" on page 125

6.1.13 Settlement Chain**6.1.13.1 SettlementParties75**

Definition: Specifies settlement parties (delivering/receiving).

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]		C2	101
	Identification <Id>	[1..1]			101
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	101
Or	NameAndAddress <NmAndAdr>	[1..1]	±		102
Or}	Country <Ctry>	[1..1]	CodeSet	C5	102
	ProcessingIdentification <Prcgld>	[0..1]	Text		102
	AlternateIdentification <Altrnld>	[0..*]	±		102
	Party1 <Pty1>	[0..1]		C3	103
	Identification <Id>	[1..1]	±		103
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		103
	ProcessingIdentification <Prcgld>	[0..1]	Text		104
	AlternateIdentification <Altrnld>	[0..*]	±		104
	Party2 <Pty2>	[0..1]		C3	104
	Identification <Id>	[1..1]	±		104
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		105
	ProcessingIdentification <Prcgld>	[0..1]	Text		105
	AlternateIdentification <Altrnld>	[0..*]	±		105
	Party3 <Pty3>	[0..1]		C3	105
	Identification <Id>	[1..1]	±		106
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		106
	ProcessingIdentification <Prcgld>	[0..1]	Text		106
	AlternateIdentification <Altrnld>	[0..*]	±		106

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
```

6.1.13.1.1 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]			101
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	101
Or	NameAndAddress <NmAndAdr>	[1..1]	±		102
Or}	Country <Ctry>	[1..1]	CodeSet	C5	102
	ProcessingIdentification <Prctl>	[0..1]	Text		102
	AlternateIdentification <AltrId>	[0..*]	±		102

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.

6.1.13.1.1.1 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	C4	101
Or	NameAndAddress <NmAndAdr>	[1..1]	±		102
Or}	Country <Ctry>	[1..1]	CodeSet	C5	102

6.1.13.1.1.1.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Unique and unambiguous way to identify an organisation.

Impacted by: C4 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 139

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.

6.1.13.1.1.2 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Unique and unambiguous way to identify an organisation.

NameAndAddress <NmAndAdr> contains the following elements (see ["NameAndAddress5"](#) on page 92 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		92
	Address <Adr>	[0..1]	±		92

6.1.13.1.1.3 Country <Ctry>

Presence: [1..1]

Definition: Unique and unambiguous way to identify an organisation.

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

Datatype: ["CountryCode"](#) on page 133

Constraints

- **Country**

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

6.1.13.1.1.2 ProcessingIdentification <PrcgId>

Presence: [0..1]

Definition: Reference meaningful to the party identified.

Datatype: ["Max35Text"](#) on page 142

6.1.13.1.1.3 AlternateIdentification <AltrId>

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 89 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		89
	Country <Ctry>	[1..1]	CodeSet	C5	89
	AlternateIdentification <AltrnId>	[1..1]	Text		90

6.1.13.1.2 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]	±		103
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		103
	ProcessingIdentification <PrctlId>	[0..1]	Text		104
	AlternateIdentification <AltrnId>	[0..*]	±		104

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.

6.1.13.1.2.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a party.

Identification <Id> contains one of the following elements (see "[PartyIdentification120Choice](#)" on page 90 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	90
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		90
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		91

6.1.13.1.2.2 SafekeepingAccount <SfkpgAcct>

Presence: [0..1]

Definition: Account where financial instruments are maintained.

Datatype: "Max35Text" on page 142

6.1.13.1.2.3 ProcessingIdentification <Prcgld>

Presence: [0..1]

Definition: Reference meaningful to the party identified.

Datatype: "Max35Text" on page 142

6.1.13.1.2.4 Alternateldentification <Altrnld>

Presence: [0..*]

Definition: Alternate identification for a party.

Alternateldentification <Altrnld> contains the following elements (see "AlternatePartyIdentification7" on page 89 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		89
	Country <Ctry>	[1..1]	CodeSet	C5	89
	Alternateldentification <Altrnld>	[1..1]	Text		90

6.1.13.1.3 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]	±		104
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		105
	ProcessingIdentification <Prcgld>	[0..1]	Text		105
	Alternateldentification <Altrnld>	[0..*]	±		105

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.

6.1.13.1.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a party.

Identification <Id> contains one of the following elements (see "[PartyIdentification120Choice](#)" on page 90 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	90
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		90
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		91

6.1.13.1.3.2 SafekeepingAccount <SfkpgAcct>

Presence: [0..1]

Definition: Account where financial instruments are maintained.

Datatype: "[Max35Text](#)" on page 142

6.1.13.1.3.3 ProcessingIdentification <PrctlId>

Presence: [0..1]

Definition: Reference meaningful to the party identified.

Datatype: "[Max35Text](#)" on page 142

6.1.13.1.3.4 AlternateIdentification <AltrnId>

Presence: [0..*]

Definition: Alternate identification for a party.

AlternateIdentification <AltrnId> contains the following elements (see "[AlternatePartyIdentification7](#)" on page 89 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		89
	Country <Ctry>	[1..1]	CodeSet	C5	89
	AlternateIdentification <AltrnId>	[1..1]	Text		90

6.1.13.1.4 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]	±		106
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		106
	ProcessingIdentification <PrctlId>	[0..1]	Text		106
	AlternateIdentification <AltrnId>	[0..*]	±		106

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.

6.1.13.1.4.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a party.

Identification <Id> contains one of the following elements (see "[PartyIdentification120Choice](#)" on page 90 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	90
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		90
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		91

6.1.13.1.4.2 SafekeepingAccount <SfkpgAcct>

Presence: [0..1]

Definition: Account where financial instruments are maintained.

Datatype: "[Max35Text](#)" on page 142

6.1.13.1.4.3 ProcessingIdentification <Prcgld>

Presence: [0..1]

Definition: Reference meaningful to the party identified.

Datatype: "[Max35Text](#)" on page 142

6.1.13.1.4.4 AlternateIdentification <Altrnld>

Presence: [0..*]

Definition: Alternate identification for a party.

AlternateIdentification <Altrnld> contains the following elements (see "[AlternatePartyIdentification7](#)" on page 89 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		89
	Country <Ctry>	[1..1]	CodeSet	C5	89
	AlternateIdentification <Altrnld>	[1..1]	Text		90

6.1.14 Status

6.1.14.1 NoSpecifiedReason1

Definition: No specified reason available for the status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		107

6.1.14.1.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

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

Datatype: "NoReasonCode" on page 135

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

6.1.14.2 PendingCancellationStatus11Choice

Definition: Choice between a reason or no reason for the corporate action instruction cancellation pending cancellation status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NotSpecifiedReason <NotSpcfdRsn>	[1..1]	CodeSet		107
Or}	Reason <Rsn>	[1..*]		C1, C5	107
	ReasonCode <RsnCd>	[1..1]			108
{Or	Code <Cd>	[1..1]	CodeSet		108
Or}	Proprietary <Prtry>	[1..1]	±		108
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		109

6.1.14.2.1 NotSpecifiedReason <NotSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 135

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

6.1.14.2.2 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]			108
{Or	Code <Cd>	[1..1]	CodeSet		108
Or}	Proprietary <Prtry>	[1..1]	±		108
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		109

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.

6.1.14.2.2.1 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		108
Or}	Proprietary <Prtry>	[1..1]	±		108

6.1.14.2.2.1.1 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 135

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.

6.1.14.2.2.1.2 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.14.2.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "[Max210Text](#)" on page 142

6.1.14.3 RejectedStatus38Choice

Definition: Choice between a reason or no reason for the corporate action instruction processing rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		109
Or}	Reason <Rsn>	[1..*]		C4	109
	ReasonCode <RsnCd>	[1..1]			110
{Or	Code <Cd>	[1..1]	CodeSet		110
Or}	Proprietary <Prtry>	[1..1]	±		111
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		111

6.1.14.3.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "[NoReasonCode](#)" on page 135

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

6.1.14.3.2 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]			110
{Or	Code <Cd>	[1..1]	CodeSet		110
Or}	Proprietary <Prtry>	[1..1]	±		111
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		111

Constraints

- **AdditionalReasonInformationRule**

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

6.1.14.3.2.1 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		110
Or}	Proprietary <Prtry>	[1..1]	±		111

6.1.14.3.2.1.1 Code <Cd>

Presence: [1..1]

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

Datatype: "RejectionReason60Code" on page 136

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Instruction received after the account servicers specified deadline.
OTHR	Other	Other reason.
DCAN	RejectedSinceAlreadyCancelled	Cancellation request was rejected since the instruction has already been cancelled.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
DPRG	RejectedSinceInProgress	Cancellation request has been rejected because the instruction process is in progress or has been processed.
LATE	MarketDeadlineMissed	Received after market deadline.
ULNK	InvalidReference	Instruction contains an invalid message reference, reference is unknown.

6.1.14.3.2.1.2 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.14.3.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "[Max210Text](#)" on page 142

6.1.14.4 RejectedStatus37Choice

Definition: Choice between a reason and no reason for the corporate action instruction processing rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		111
Or}	Reason <Rsn>	[1..*]		C4	111
	ReasonCode <RsnCd>	[1..1]			112
{Or	Code <Cd>	[1..1]	CodeSet		112
Or}	Proprietary <Prtry>	[1..1]	±		113
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		113

6.1.14.4.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "[NoReasonCode](#)" on page 135

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

6.1.14.4.2 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]			112
{Or	Code <Cd>	[1..1]	CodeSet		112
Or}	Proprietary <Prtry>	[1..1]	±		113
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		113

Constraints

- **AdditionalReasonInformationRule**

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

6.1.14.4.2.1 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		112
Or}	Proprietary <Prtry>	[1..1]	±		113

6.1.14.4.2.1.1 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 136

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.

CodeName	Name	Definition
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.

6.1.14.4.2.1.2 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.14.4.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "[Max210Text](#)" on page 142

6.1.14.5 PendingStatus63Choice

Definition: Choice between a reason or no reason for the corporate action instruction processing pending status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		113
Or}	Reason <Rsn>	[1..*]	±	C5	114

6.1.14.5.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "[NoReasonCode](#)" on page 135

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

6.1.14.5.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the pending status.

Impacted by: C5 "AdditionalReasonInformationRule"

Reason <Rsn> contains the following elements (see "PendingStatusReason22" on page 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			114
{Or	Code <Cd>	[1..1]	CodeSet		115
Or}	Proprietary <Prtry>	[1..1]	±		115
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		116

Constraints

- **AdditionalReasonInformationRule**

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

6.1.14.6 PendingStatusReason22

Definition: Specifies reasons for the pending status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			114
{Or	Code <Cd>	[1..1]	CodeSet		115
Or}	Proprietary <Prtry>	[1..1]	±		115
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		116

Constraints

- **AdditionalReasonInformationRule**

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

6.1.14.6.1 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		115
Or}	Proprietary <Prtry>	[1..1]	±		115

6.1.14.6.1.1 Code <Cd>

Presence: [1..1]

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

Datatype: "PendingReason22Code" on page 135

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.
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.

6.1.14.6.1.2 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.14.6.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "[Max210Text](#)" on page 142

6.1.14.7 ProprietaryReason4

Definition: Proprietary identification of the reason related to a status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	±		116
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		116

Constraints

- **AdditionalReasonInformationRule**

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

6.1.14.7.1 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.14.7.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "[Max210Text](#)" on page 142

6.1.14.8 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		117
Or}	Reason <Rsn>	[1..*]		C3	117
	ReasonCode <RsnCd>	[1..1]			117
{Or	Code <Cd>	[1..1]	CodeSet		118
Or}	Proprietary <Prtry>	[1..1]	±		118
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		118

6.1.14.8.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 135

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

6.1.14.8.2 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]			117
{Or	Code <Cd>	[1..1]	CodeSet		118
Or}	Proprietary <Prtry>	[1..1]	±		118
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		118

Constraints

- AdditionalReasonInformationRule**

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

6.1.14.8.2.1 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		118
Or}	Proprietary <Prtry>	[1..1]	±		118

6.1.14.8.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the reason why the instruction is cancelled.

Datatype: "CancelledStatusReason5Code" on page 126

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
OTHR	Other	Other. See Narrative.

6.1.14.8.2.1.2 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.14.8.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "Max210Text" on page 142

6.1.14.9 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		119
Or}	Reason <Rsn>	[1..*]		C3	119
	ReasonCode <RsnCd>	[1..1]			119
{Or	Code <Cd>	[1..1]	CodeSet		120
Or}	Proprietary <Prtry>	[1..1]	±		120
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		120

6.1.14.9.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 135

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

6.1.14.9.2 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]			119
{Or	Code <Cd>	[1..1]	CodeSet		120
Or}	Proprietary <Prtry>	[1..1]	±		120
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		120

Constraints

- **AdditionalReasonInformationRule**

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

6.1.14.9.2.1 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		120
Or}	Proprietary <Prtry>	[1..1]	±		120

6.1.14.9.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify additional information about the processed instruction.

Datatype: "AcknowledgementReason7Code" on page 125

CodeName	Name	Definition
NSTP	NotStraightThroughProcessing	Instruction was not straight through processing and had to be processed manually.
OTHR	Other	Other. See Narrative.

6.1.14.9.2.1.2 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.14.9.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "Max210Text" on page 142

6.1.14.10 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		121
Or}	Reason <Rsn>	[1..*]		C2	121
	ReasonCode <RsnCd>	[1..1]			121
{Or	Code <Cd>	[1..1]	CodeSet		122
Or}	Proprietary <Prtry>	[1..1]	±		122
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		122

6.1.14.10.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 135

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

6.1.14.10.2 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]			121
{Or	Code <Cd>	[1..1]	CodeSet		122
Or}	Proprietary <Prtry>	[1..1]	±		122
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		122

Constraints

- **AdditionalReasonInformationRule**

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

6.1.14.10.2.1 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		122
Or}	Proprietary <Prtry>	[1..1]	±		122

6.1.14.10.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the reason why the instruction is cancelled.

Datatype: "CancelledStatusReason6Code" on page 126

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.

6.1.14.10.2.1.2 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.14.10.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "Max210Text" on page 142

6.1.14.11 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]	±		123
	ProprietaryReason <PrtryRsn>	[0..*]	±	C6	123

6.1.14.11.1 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		78
	Issuer <Issr>	[1..1]	Text		78
	SchemeName <SchmeNm>	[0..1]	Text		79

6.1.14.11.2 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 116 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	±		116
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		116

Constraints

- **AdditionalReasonInformationRule**

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

6.2 Message Datatypes

6.2.1 Amount

6.2.1.1 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 125

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.

6.2.1.2 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 125

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.

6.2.1.3 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

6.2.2 CodeSet

6.2.2.1 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.

6.2.2.2 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.

6.2.2.3 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.

6.2.2.4 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.

6.2.2.5 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.

6.2.2.6 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 warrants and equities. Securities may be

CodeName	Name	Definition
		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.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up

CodeName	Name	Definition
		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 rather than investing the dividend in the market.

CodeName	Name	Definition
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the 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.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may

CodeName	Name	Definition
		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.
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

CodeName	Name	Definition
		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.
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

CodeName	Name	Definition
		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.

6.2.2.7 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 with different tax implications (typically found in Australia).

CodeName	Name	Definition
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 putable 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.

6.2.2.8 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).

6.2.2.9 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.

6.2.2.10 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.

6.2.2.11 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".

6.2.2.12 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

6.2.2.13 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.

6.2.2.14 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.

6.2.2.15 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.

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.

6.2.2.16 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.
EVNM	UnrecognisedIdentification	Unrecognised event number.
DQCS	AmountRejection	Unrecognised or invalid instructed cash amount.
DQCC	CurrencyRejection	Invalid instructed currency.

6.2.2.17 RejectionReason60Code

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

Type: CodeSet

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Instruction received after the account servicers specified deadline.
OTHR	Other	Other reason.
DCAN	RejectedSinceAlreadyCancelled	Cancellation request was rejected since the instruction has already been cancelled.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
DPRG	RejectedSinceInProgress	Cancellation request has been rejected because the instruction process is in progress or has been processed.
LATE	MarketDeadlineMissed	Received after market deadline.
ULNK	InvalidReference	Instruction contains an invalid message reference, reference is unknown.

6.2.2.18 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.

6.2.2.19 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.

6.2.2.20 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.

6.2.2.21 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.
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.

6.2.2.22 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).

6.2.3 Date

6.2.3.1 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

6.2.4 DateTime

6.2.4.1 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

6.2.5 IdentifierSet

6.2.5.1 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.

6.2.5.2 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.

6.2.5.3 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}

6.2.6 Quantity

6.2.6.1 DecimalNumber

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

Type: Quantity

Format

totalDigits	18
fractionDigits	17

6.2.7 Rate

6.2.7.1 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

6.2.8 Text

6.2.8.1 Exact3NumericText

Definition: Specifies a numeric string with an exact length of 3 digits.

Type: Text

Format

pattern	[0-9]{3}
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6.2.8.2 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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6.2.8.3 Max140Text

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

Type: Text

Format

minLength	1
maxLength	140

6.2.8.4 Max16Text

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

Type: Text

Format

minLength	1
maxLength	16

6.2.8.5 Max210Text

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

Type: Text

Format

minLength	1
maxLength	210

6.2.8.6 Max34Text

Definition: Specifies a character string with a maximum length of 34 characters.

Type: Text

Format

minLength	1
maxLength	34

6.2.8.7 Max350Text

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

Type: Text

Format

minLength	1
maxLength	350

6.2.8.8 Max35Text

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

Type: Text

Format

minLength	1
maxLength	35

6.2.8.9 Max70Text

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

Type: Text

Format

minLength	1
maxLength	70