



Standards

Funds November 2022

Standards MX

Message Definition Report Part 2

This document provides details of the messages for Funds November 2022.

February 2022

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1 Message Set Overview

Introduction

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

1.1 List of MessageDefinitions

The following table lists all MessageDefinitions described in this book.

MessageDefinition	Definition
acmt.001.001.08 AccountOpeningInstructionV08	The AccountOpeningInstruction message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian or securities depository, to instruct the opening of an account or the opening of an account and the establishment of an investment plan.
acmt.002.001.08 AccountDetailsConfirmationV08	The AccountDetailsConfirmation message is sent by an account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to the account owner, for example, an investor to confirm the opening of an account, execution of an AccountModificationInstruction or to return information requested in a GetAccountDetails message.
acmt.003.001.08 AccountModificationInstructionV08	The AccountModificationInstruction message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to modify, that is, create, update or delete specific details of an existing account.
acmt.004.001.06 GetAccountDetailsV06	The GetAccountDetails message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to query the details of an existing account.
acmt.005.001.06 RequestForAccountManagementStatusReportV06	The RequestForAccountManagementStatusReport message is sent by an account owner, for example, an investor or its designated agent, to the account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to request the status of an AccountOpeningInstruction, GetAccountDetails or an AccountModificationInstruction.
acmt.006.001.07 AccountManagementStatusReportV07	The AccountManagementStatusReport message is sent by an account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to the account owner or its designated agent, for example, an investor to report on the receipt or the processing status of a previously received account management message.
camt.040.001.04 FundEstimatedCashForecastReportV04	A report provider, such as a transfer agent, sends the FundEstimatedCashForecastReport message to the report user, such as an investment manager or pricing

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

MessageDefinition	Definition
	trade dates and, optionally, to quote price variation information.
reda.002.001.04 PriceReportCancellationV04	A report provider, for example, a transfer agent, fund accountant or market data provider, sends the PriceReportCancellation message to the report recipient, for example, a fund management company, transfer agent, market data provider, regulator or any other interested party to cancel previously sent prices.
reda.004.001.06 FundReferenceDataReportV06	The FundReferenceDataReport message is sent by a report provider, for example, a fund promoter, fund management company, transfer agent, or market data provider to the report recipient, for example, a professional investor, investment fund distributor, market data provider, regulator or other interested party, to provide the key reference data for financial instruments to facilitate trading. The message may also include reporting data concerning product governance, such as target market data, and a breakdown of the costs and fees.
reda.005.001.03 InvestmentFundReportRequestV03	<p>The InvestmentFundReportRequest message is sent by a report user, for example, a professional investor, investment fund distributor, market data provider, regulator or other interested party to the report provider, for example, a fund promoter, fund management company, transfer agent, or market data provider to request a report.</p> <p>The Investment Fund Report Request message can be used to request one or many fund reference data report messages.</p>
semt.001.001.03 SecuritiesMessageRejectionV03	<p>An account servicer, for example, a registrar, transfer agent or custodian bank, sends the SecuritiesMessageRejection message to the account owner, for example, an investor or its authorised agent, to reject a previously received message on which action cannot be taken.</p> <p>The message may also be sent by an executing party, for example, transfer agent to the instructing party, for example, investment manager or its authorised representative to reject a previously received message on which action cannot be taken.</p>
semt.002.001.02 CustodyStatementOfHoldingsV02	<p>An account servicer, for example, a transfer agent sends the CustodyStatementOfHoldings message to the account owner, for example, a fund manager or an account owner's designated agent to provide detailed holdings of the portfolio at a specified moment in time.</p> <p>The message provides, at a moment in time, the quantity and identification of the financial instruments that the account servicer holds for the account owner. The message can also include availability and the location of holdings to facilitate trading and minimise settlement issues.</p> <p>The message reports all information per financial instrument, ie, when a financial instrument is held at multiple places of safekeeping, the total holdings for all locations can be provided.</p>

MessageDefinition	Definition
semt.003.001.02 AccountingStatementOfHoldingsV02	<p>An account servicer, for example, a transfer agent sends the AccountingStatementOfHoldings message to the account owner, for example, a fund manager or an account owner's designated agent to provide detailed holdings of the portfolio at a specified moment in time.</p> <p>The message provides, at a moment in time, valuations of the portfolio together with details of each financial instrument holding.</p> <p>The message can be sent either audited or un-audited and may be provided on a trade date or settlement date basis.</p>
semt.004.001.02 CustodyStatementOfHoldingsCancellationV02	<p>An account servicer, for example, a transfer agent, sends the CustodyStatementOfHoldingsCancellation message to the account owner, for example, an investment manager or its authorised representative to cancel a previously sent CustodyStatementOfHoldings message.</p>
semt.005.001.02 AccountingStatementOfHoldingsCancellationV02	<p>An account servicer, for example, a transfer agent, sends the AccountingStatementOfHoldingsCancellation message to the account owner, for example, a fund manager or an account owner's designated agent, to notify the cancellation of a previously sent AccountingStatementOfHoldings message.</p>
semt.006.001.02 StatementOfInvestmentFundTransactionsV02	<p>An account servicer, for example, a transfer agent sends the StatementOfInvestmentFundTransactions message to the account owner, for example, an investment manager or its authorised representative to provide detailed transactions (increases and decreases) of holdings which occurred during a specified period of time.</p>
semt.007.001.02 StatementOfInvestmentFundTransactionsCancellationV02	<p>An account servicer, for example, a transfer agent sends the StatementOfInvestmentFundTransactionsCancellation message to the account owner, for example, an investment manager or its authorised representative to cancel a previously sent StatementOfInvestmentFundTransactions message.</p>
semt.012.001.01 AlternativeFundsAccountingStatementOfHoldingsV01	<p>An account servicer, for example, a transfer agent or administrator, sends the AlternativeFundsAccountingStatementOfHoldings message to the account owner, for example, an investment manager, custodian, fund manager or an account owner's designated agent, to provide detailed holdings of the portfolio at a specified moment in time.</p> <p>There may be one or more parties between the account servicer and the account owner.</p> <p>The message provides, at a moment in time, valuations of the portfolio together with details of each financial instrument holding.</p>
semt.041.001.02 SecuritiesBalanceTransparencyReportV02	<p>The SecuritiesBalanceTransparencyReport message is sent by an account servicer, such as a custodian, central securities depository or international central securities depository, to the account owner to provide holdings information for the accounts that it services, to disclose underlying details of holdings on an omnibus account that the sender owns or operates at the</p>

MessageDefinition	Definition
	<p>receiver. The receiver may also be a custodian, central securities depository, international central securities depository, and the ultimate receiver may be a registrar, transfer agent, fund company, official agent of the reported instrument(s) and/or other parties.</p> <p>The SecuritiesBalanceTransparencyReport message provides transparency of holdings through layers of custody chains in a consolidated statement, to allow for an efficient gathering of investor data, which, in turn, may be used to measure marketing effectiveness, validation of compliance with prospectuses and regulatory requirements, and the calculation of trailer fees and other retrocessions.</p>
<p>semt.042.001.01 SecuritiesBalanceTransparencyReportStatusAdviceV01</p>	<p>An account owner, such as a custodian, central securities depository, international securities depository or transfer agent, sends the SecuritiesBalanceTransparencyReportStatusAdvice message in response to a SecuritiesBalanceTransparencyReport, to accept or reject the statement of holdings as sent in a SecuritiesBalanceTransparencyReport.</p>
<p>sese.001.001.09 TransferOutInstructionV09</p>	<p>The TransferOutInstruction message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the delivery of a financial instrument, free of payment, on a given date from a specified party.</p> <p>This message may also be used to instruct the delivery of a financial instrument, free of payment, to another of the instructing parties own accounts or to a third party.</p>
<p>sese.002.001.09 TransferOutCancellationRequestV09</p>	<p>The TransferOutCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent transfer out instruction.</p>
<p>sese.003.001.09 TransferOutConfirmationV09</p>	
<p>sese.004.001.09 ReversalOfTransferOutConfirmationV09</p>	<p>The ReversalOfTransferOutConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent transfer out confirmation.</p>
<p>sese.005.001.09 TransferInInstructionV09</p>	
<p>sese.006.001.09 TransferInCancellationRequestV09</p>	<p>The TransferInCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent transfer in instruction.</p>
<p>sese.007.001.09 TransferInConfirmationV09</p>	<p>The TransferInConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager</p>

MessageDefinition	Definition
	<p>or its authorised representative, to confirm the receipt of a financial instrument, free of payment, on a given date, from a specified party.</p> <p>This message may also be used to confirm the receipt of a financial instrument, free of payment, from another of the instructing parties own accounts or from a third party.</p> <p>This message may also be used as an advice, that is, the message is used to provide account information.</p>
<p>sese.008.001.09 ReversalOfTransferInConfirmationV09</p>	<p>The ReversalOfTransferInConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent transfer in confirmation.</p>
<p>sese.009.001.08 RequestForTransferStatusReportV08</p>	<p>The RequestForTransferStatusReport is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent to request the status of a previously instructed transfer.</p> <p>The RequestForTransferStatusReport may also be sent by any party in the transfer transaction to another party in the transfer transaction chain to request information relevant for the settlement of a transfer transaction.</p>
<p>sese.010.001.07 TransferCancellationStatusReportV07</p>	<p>The TransferCancellationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or one of its authorised representatives to provide the status of a previously received transfer cancellation instruction.</p>
<p>sese.011.001.09 TransferInstructionStatusReportV09</p>	<p>The TransferInstructionStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or one of its authorised representatives to provide the status of a previously received request for holdings information, portfolio transfer or transfer instruction.</p> <p>It may also be used to report the status of an event related to the asset being transferred or provide additional information.</p> <p>The TransferInstructionStatusReport message may also be sent by any party in the transfer transaction to another party in the transfer transaction chain to provide information relevant for the settlement of a transfer transaction.</p>
<p>sese.012.001.11 PortfolioTransferInstructionV11</p>	<p>The PortfolioTransferInstruction message is sent by an instructing party, for example, a (new) plan manager (transferee), to the executing party, for example, a (old) plan manager (transferor), on behalf of the initiating party, for example, an investor (client), to instruct the transfer of financial instruments from the client's account at the old plan manager (transferor) to the clients account at the new plan manager (transferee).</p>
<p>sese.013.001.11 PortfolioTransferConfirmationV11</p>	<p>The PortfolioTransferConfirmation message is sent by an executing party, for example, a (old) plan manager</p>

MessageDefinition	Definition
	(transferor), to the instructing party for example, a (new) plan manager (transferee), to confirm the transfer of financial instruments from the client's account at the old plan manager (transferor) to the clients account at the new plan manager (transferee).
sese.014.001.09 PortfolioTransferCancellationRequestV09	The PortfolioTransferCancellationRequest message is sent by, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent PortfolioTransferInstruction message.
sese.018.001.09 AccountHoldingInformationV09	The AccountHoldingInformation message is sent by an executing party, for example, a (old) plan manager (transferor), to the instructing party, for example, a (new) plan manager (transferee), to provide information about financial instruments held on behalf of a client.
sese.019.001.08 AccountHoldingInformationRequestV08	The AccountHoldingInformationRequest message is sent by an instructing party, for example, a (new) plan manager (transferee), to the executing party, for example, a (old) plan manager (transferor), on behalf of the initiating party, for example, an investor (client), to request information about financial instruments held on behalf of the client.
setr.001.001.04 RedemptionBulkOrderV04	The RedemptionBulkOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a redemption from a financial instrument for two or more accounts.
setr.002.001.04 RedemptionBulkOrderCancellationRequestV04	The RedemptionBulkOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent RedemptionBulkOrder.
setr.003.001.02 RedemptionBulkOrderConfirmationV02	<p>The RedemptionBulkOrderConfirmation message is sent by an executing party, eg, a transfer agent, to an instructing party, eg, an investment manager or its authorised representative. There may be one or more intermediary parties between the executing party and the instructing party. The intermediary party is, for example, an intermediary or a concentrator.</p> <p>This message is used to confirm the details of the execution of a RedemptionBulkOrder message.</p>
setr.004.001.04 RedemptionOrderV04	The RedemptionOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the redemption of one or more financial instruments for one investment fund account.
setr.005.001.04 RedemptionOrderCancellationRequestV04	The RedemptionOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent RedemptionOrder.

MessageDefinition	Definition
setr.006.001.04 RedemptionOrderConfirmationV04	The RedemptionOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of execution for a previously received RedemptionOrder message.
setr.007.001.04 SubscriptionBulkOrderV04	The SubscriptionBulkOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a subscription to a financial instrument for two or more accounts.
setr.008.001.04 SubscriptionBulkOrderCancellationRequestV04	The SubscriptionBulkOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SubscriptionBulkOrder.
setr.009.001.04 SubscriptionBulkOrderConfirmationV04	The SubscriptionBulkOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a SubscriptionBulkOrder instruction.
setr.010.001.04 SubscriptionOrderV04	The SubscriptionOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the subscription of one or more financial instruments for one investment fund account.
setr.011.001.04 SubscriptionOrderCancellationRequestV04	The SubscriptionOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SubscriptionOrder.
setr.012.001.04 SubscriptionOrderConfirmationV04	The SubscriptionOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a SubscriptionOrder instruction.
setr.013.001.04 SwitchOrderV04	The SwitchOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a switch transaction from a financial instrument or multiple financial instruments to a different specified financial instrument or instruments for a specified amount/ quantity.
setr.014.001.04 SwitchOrderCancellationRequestV04	The SwitchOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SwitchOrder instruction.
setr.015.001.04 SwitchOrderConfirmationV04	The SwitchOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the

MessageDefinition	Definition
	instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a previously received SwitchOrder instruction.
setr.016.001.04 OrderInstructionStatusReportV04	The OrderInstructionStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to report the status of an order from the time the executing party receives the order until the time the order is executed.
setr.017.001.04 OrderCancellationStatusReportV04	The OrderCancellationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to report the status of an order cancellation request that was previously received.
setr.018.001.04 RequestForOrderStatusReportV04	The RequestForOrderStatusReport message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the status of one or more order instructions or order cancellation requests.
setr.047.001.02 SubscriptionOrderConfirmationCancellationInstr uctionV02	The SubscriptionOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SubscriptionOrderConfirmation.
setr.049.001.02 SubscriptionBulkOrderConfirmationCancellation InstructionV02	The SubscriptionBulkOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SubscriptionBulkOrderConfirmation.
setr.051.001.02 RedemptionOrderConfirmationCancellationInstr uctionV02	The RedemptionOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent RedemptionOrderConfirmation.
setr.053.001.02 RedemptionBulkOrderConfirmationCancellationI nstructionV02	The RedemptionBulkOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent RedemptionBulkOrderConfirmation.
setr.055.001.02 SwitchOrderConfirmationCancellationInstruction V02	The SwitchOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SwitchOrderConfirmation.
setr.057.001.02 OrderConfirmationStatusReportV02	The OrderConfirmationStatusReport message is sent by an instructing party, for example, an investment manager or its authorised representative, to the

MessageDefinition	Definition
	executing party, for example, a transfer agent, to report the status of an order confirmation or an order confirmation amendment.
setr.058.001.02 RequestForOrderConfirmationStatusReportV02	The RequestForOrderConfirmationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to request the status of one or more order confirmations.
setr.059.001.01 AlternativeFundsSubscriptionOrderV01	An instructing party, for example, an investment manager, custodian or its authorised representative, sends the AlternativeFundsSubscriptionOrder message to the executing party, for example, a transfer agent or administrator, to instruct the subscription of a financial instrument for one investment fund account. There may be one or more parties between the instructing party and the executing party.
setr.060.001.01 AlternativeFundsRedemptionOrderV01	An instructing party, for example, an investment manager, custodian or its authorised representative, sends the AlternativeFundsRedemptionOrder message to the executing party, for example, a transfer agent or administrator, to instruct the redemption of a financial instrument for one investment fund account. There may be one or more parties between the instructing party and the executing party.
setr.061.001.01 AlternativeFundsSubscriptionOrderConfirmationV01	An executing party, for example, a transfer agent or administrator, sends the AlternativeFundsSubscriptionOrderConfirmation message to the instructing party, for example, an investment manager, custodian or its authorised representative to confirm the details of the execution of a previously received AlternativeFundsSubscriptionOrder instruction. There may be one or more parties between the executing party and the instructing party.
setr.062.001.01 AlternativeFundsRedemptionOrderConfirmationV01	An executing party, for example, a transfer agent or administrator, sends the AlternativeFundsRedemptionOrderConfirmation message to the instructing party, for example, an investment manager, custodian or its authorised representative to confirm the details of execution of a previously received AlternativeFundsRedemptionOrder instruction. There may be one or more parties between the executing party and the instructing party.
setr.064.001.01 AlternativeFundsOrderInstructionStatusReportV01	An executing party, for example, a transfer agent or administrator, sends the AlternativeFundsOrderInstructionStatusReport to the instructing party, for example, an investment manager, custodian or its authorised representative to report the status of an order from the time the executing party receives the order until the time the order is executed. There may be one or more parties between the executing party and the instructing party.

MessageDefinition	Definition
setr.065.001.01 InvestmentFundOrderCancellationRequestV01	<p>An instructing party, for example, an investment manager, a custodian or its authorised representative, sends the InvestmentFundOrderCancellationRequest to the executing party, for example, the transfer agent or administrator, to request the cancellation of a previously sent investment fund order, such as the SubscriptionOrder, AlternativeFundsSubscriptionOrder, AlternativeFundsRedemptionOrder, etc.</p> <p>There may be one or more parties between the instructing party and the executing party.</p>
setr.066.001.01 InvestmentFundCancellationAdviceV01	<p>An executing party/account servicer, for example, a transfer agent or administrator, sends the InvestmentFundCancellationAdvice to the instructing party/account owner, for example, an investment manager, custodian or its authorised representative, to cancel a previously sent investment fund order confirmation or statement message.</p> <p>There may be one or more parties between the executing party/account servicer and the instructing party/account owner.</p>

2 **MX acmt.001.001.08** **AccountOpeningInstructionV08**

2.1 **MessageDefinition Functionality**

Scope

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

Usage

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

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

Execution of the AccountOpeningInstruction is confirmed via an AccountDetailsConfirmation message.

Outline

The AccountOpeningInstructionV08 MessageDefinition is composed of 16 MessageBuildingBlocks:

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

I. NewIssueAllocation

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

J. SavingsInvestmentPlan

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

K. WithdrawalInvestmentPlan

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

L. CashSettlement

Cash settlement standing instruction associated to transactions on the account.

M. ServiceLevelAgreement

Identifies documents to be provided for the account opening.

N. AdditionalInformation

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

O. MarketPracticeVersion

Identifies the market practice to which the message conforms.

P. Extension

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

2.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <AcctOpngInstr>	[1..1]		C14, C24	
	MessageIdentification <MsgId>	[1..1]	±		31
	OrderReference <OrdRef>	[0..1]	±		31
	PreviousReference <PrvsRef>	[0..1]	±		31
	InstructionDetails <InstrDtls>	[1..1]			32
	OpeningType <OpngTp>	[1..1]	±		32
	AccountApplicationIdentification <AcctAppId>	[0..1]	Text		32
	ClientReference <ClntRef>	[0..1]	Text		32
	CounterpartyReference <CtrPtyRef>	[0..1]	±		33
	ExistingAccountIdentification <ExstgAcctId>	[0..*]	±		33
	InvestmentAccount <InvstmtAcct>	[1..1]	±	C13, C23, C9	33
	AccountParties <AcctPties>	[1..1]	±		36
	Intermediaries <Intrmies>	[0..*]	±		36
	Placement <Plcmnt>	[0..1]	±	C22	37
	NewIssueAllocation <NewIssseAllcn>	[0..1]	±		37
	SavingsInvestmentPlan <SvgsInvstmtPlan>	[0..50]	±	C3	38
	WithdrawalInvestmentPlan <WdrwlInvstmtPlan>	[0..10]	±	C3	40
	CashSettlement <CshSttlm>	[0..8]	±		41
	ServiceLevelAgreement <SvcLvlAgrmt>	[0..30]	±		42
	AdditionalInformation <AddtlInf>	[0..*]	±		43
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		43
	Extension <Xtnsn>	[0..*]	±	C8	44

2.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

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

the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AmountRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00295
- *Error Text:* GrossAmountIndicator is not allowed.

C4 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C5 BICFI

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C6 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C7 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C8 ExtensionRule

(Rule)

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

C9 FinancialInstrumentDetailsGuideline

(Guideline)

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

C10 HoldingCertificateNumberRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00294
- *Error Text:* HoldingCertificateNumber must be present.

C11 IBAN

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C12 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

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

C13 IncomePreferenceReinvestment1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00326
- *Error Text:* ReinvestmentDetails is not allowed because IncomePreference is CASH.

C14 InvestmentAccountIdentificationRule

(Rule)

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

This constraint is defined at the MessageDefinition level.

C15 MailingIndicatorRule

(Rule)

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

C16 OrganisationElementRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C17 OwnershipBeneficiaryRateRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C18 PartialHoldingUnits1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00291
- *Error Text:* PartialHoldingUnits must not be present.

C19 PartialHoldingUnits2Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00293
- *Error Text:* PartialHoldingUnits must be present.

C20 PartialHoldingUnits3Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00292
- *Error Text:* PartialHoldingUnits must not be present.

C21 PoliticallyExposedPersonTypeRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00449
- *Error Text:* PoliticallyExposedPersonStatus must not be present.

C22 ReferredPlacementAgentRule

(Rule)

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

C23 ReinvestmentPercentage1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:* Reinvestment Percentage must not be greater 100.

C24 UnitRule

(Rule)

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

On Condition

/SavingsInvestmentPlan[*] is present

Following Must be True

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00296
- *Error Text:* Unit is not allowed.

This constraint is defined at the MessageDefinition level.

C25 ValidationByTable

(Rule)

Must be a valid terrestrial language. (Algorithm)

C26 ValidationByTable

(Rule)

Must be a valid nationality. (Algorithm)

2.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

2.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

2.4.2 OrderReference <OrdrRef>

Presence: [0..1]

Definition: Identifies a related order or settlement transaction.

OrderReference <OrdrRef> contains the following elements (see [InvestmentFundOrder4](#) on page 2336 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[0..1]	Text		2337
	MasterReference <MstrRef>	[0..1]	Text		2337

2.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference13](#) on page 2000 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2000
	Referencelssuer <RefIssr>	[0..1]	±		2000
	MessageName <MsgNm>	[0..1]	Text		2000

2.4.4 InstructionDetails <InstrDtls>

Presence: [1..1]

Definition: Information about the opening instruction.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OpeningType <OpngTp>	[1..1]	±		32
	AccountApplicationIdentification <AcctApplId>	[0..1]	Text		32
	ClientReference <ClntRef>	[0..1]	Text		32
	CounterpartyReference <CtrPtyRef>	[0..1]	±		33
	ExistingAccountIdentification <ExstgAcctId>	[0..*]	±		33

2.4.4.1 OpeningType <OpngTp>

Presence: [1..1]

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

OpeningType <OpngTp> contains one of the following elements (see [AccountOpeningType1Choice](#) on page 1589 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1589
Or}	Proprietary <Prtry>	[1..1]	±		1590

2.4.4.2 AccountApplicationIdentification <AcctApplId>

Presence: [0..1]

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

Datatype: [Max35Text](#) on page 3409

2.4.4.3 ClientReference <ClntRef>

Presence: [0..1]

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

Datatype: [Max35Text](#) on page 3409

2.4.4.4 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

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

CounterpartyReference <CtrPtyRef> contains the following elements (see [AdditionalReference13](#) on page 2000 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2000
	Referencelssuer <RefIssr>	[0..1]	±		2000
	MessageName <MsgNm>	[0..1]	Text		2000

2.4.4.5 ExistingAccountIdentification <ExstgAcctId>

Presence: [0..*]

Definition: Account to which the account opening is related.

ExistingAccountIdentification <ExstgAcctId> contains the following elements (see [Account23](#) on page 1590 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1590
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		1590

2.4.5 InvestmentAccount <InvstmtAcct>

Presence: [1..1]

Definition: Detailed information about the account to be opened.

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

InvestmentAccount <InvstmtAcct> contains the following elements (see [InvestmentAccount73 on page 2048](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2050
	Name <Nm>	[0..1]	Text		2051
	Designation <Dsgnt>	[0..1]	Text		2051
	Type <Tp>	[0..1]	±		2051
	OwnershipType <OwnrshTp>	[1..1]	±		2051
	TaxExemption <TaxXmptn>	[0..1]	±		2051
	StatementFrequency <StmtFrqcy>	[0..1]	±		2052
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C2	2052
	Language <Lang>	[0..1]	CodeSet	C34	2052
	IncomePreference <IncmPref>	[0..1]	CodeSet		2053
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		2053
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		2053
	TaxReporting <TaxRptg>	[0..*]	±		2054
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		2055
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		2056
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		2056
	FundFamilyName <FndFmlyNm>	[0..1]	Text		2056
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±	C20	2056
	RoundingDetails <RndgDtls>	[0..1]	±		2057
	AccountServicer <AcctSvcr>	[0..1]	±		2058
	BlockedStatus <BlckdSts>	[0..1]	±		2058
	AccountUsageType <AcctUsgTp>	[0..1]	±		2059
	ForeignStatusCertification <FrgnStsCertfctn>	[0..1]	CodeSet		2059
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		2059
	TransactionChannelType <TxChanITp>	[0..1]	±		2059
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		2059
	Pledging <Pldgg>	[0..1]	CodeSet		2060
	Collateral <Coll>	[0..1]	CodeSet		2060
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		2060
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>	[0..1]	±		2061

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountingStatus <AcctgSts>	[0..1]	±		2061
	OpeningDate <OpngDt>	[0..1]	±		2061
	ClosingDate <ClsgDt>	[0..1]	±		2061
	NegativeIndicator <NegInd>	[0..1]	Indicator		2062
	ProcessingOrder <PrcgOrd>	[0..1]	CodeSet		2062
	Liability <Lbly>	[0..1]	±		2062
	InvestorProfile <InvstrPrfl>	[0..*]	±		2062
	FiscalYear <Fsclyr>	[0..1]	±		2063

Constraints

- **FinancialInstrumentDetailsGuideline**

(Guideline)

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

- **IncomePreferenceReinvestment1Rule**

(Rule)

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

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00326
- *Error Text:* ReinvestmentDetails is not allowed because IncomePreference is CASH.

- **ReinvestmentPercentage1Rule**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:* Reinvestment Percentage must not be greater 100.

2.4.6 AccountParties <AcctPties>

Presence: [1..1]

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

AccountParties <AcctPties> contains the following elements (see [AccountParties17](#) on page 2542 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PrincipalAccountParty <PrncplAcctPty>	[1..1]			2543
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		2543
Or	Trustee <Trstee>	[1..5]	±		2545
Or	Nominee <Nmnee>	[1..1]	±		2547
Or}	JointOwner <JntOwnr>	[1..5]	±		2549
	SecondaryOwner <ScndryOwnr>	[0..*]	±		2551
	Beneficiary <Bnfcry>	[0..*]	±		2553
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		2555
	LegalGuardian <LglGuardn>	[0..*]	±		2557
	CustodianForMinor <CtdnForMnr>	[0..*]	±		2559
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		2561
	Administrator <Admstr>	[0..*]	±		2563
	OtherParty <OthrPty>	[0..*]	±		2565
	Granter <Grntr>	[0..*]	±		2565
	Settlor <Sttlr>	[0..*]	±		2567
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		2569
	Protector <Prctr>	[0..*]	±		2571
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		2573

2.4.7 Intermediaries <Intrmies>

Presence: [0..*]

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

Intermediaries <Intrmies> contains the following elements (see [Intermediary46](#) on page 2597 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			2598
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2598
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2599
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2599
	Account <Acct>	[0..1]			2599
	Identification <Id>	[0..1]	Text		2599
	AccountServicer <AcctSvcr>	[1..1]	±		2599
	WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>	[0..1]	Indicator		2600
	Role <Role>	[0..1]	±		2600
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2600
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2601
	NameAndAddress <NmAndAdr>	[0..1]	±		2601

2.4.8 Placement <Plcmnt>

Presence: [0..1]

Definition: Referral information.

Impacted by: [C22 ReferredPlacementAgentRule](#)

Placement <Plcmnt> contains the following elements (see [ReferredAgent3](#) on page 2594 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Referred <Rfrd>	[1..1]	CodeSet		2594
	ReferredPlacementAgent <RfrdPlcmntAgt>	[0..1]	±		2595

Constraints

- **ReferredPlacementAgentRule**

(Rule)

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

2.4.9 NewIssueAllocation <NewlsseAllcn>

Presence: [0..1]

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

NewIssueAllocation <NewIsseAllcn> contains the following elements (see [NewIssueAllocation2](#) on page 2393 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Restricted <Rstrctd>	[1..1]	Indicator		2393
	ExemptPersonReason <XmptPrsnRsn>	[0..1]	Text		2393
	DeMinimus <DeMnms>	[0..1]	±		2393

2.4.10 SavingsInvestmentPlan <SvgsInvstmtPlan>

Presence: [0..50]

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

Impacted by: [C3 AmountRule](#)

SavingsInvestmentPlan <SvgsInvstmtPlan> contains the following elements (see [InvestmentPlan17](#) on page 2253 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		2254
	StartDate <StartDt>	[0..1]	Date		2254
	EndDate <EndDt>	[0..1]	Date		2254
	Quantity <Qty>	[1..1]	±		2254
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		2254
	IncomePreference <IncmPref>	[0..1]	CodeSet		2255
	InitialAmount <InitlAmt>	[0..1]	±		2255
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		2255
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		2255
	SecurityDetails <SctyDtls>	[1..50]			2256
	Quantity <Qty>	[1..1]	±		2256
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	2256
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	2257
	CashSettlement <CshSttlm>	[0..8]	±		2258
	ContractReference <CtrctRef>	[0..1]	Text		2259
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		2259
	ProductIdentification <PdctId>	[0..1]	Text		2260
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		2260
	InsuranceCover <InsrncCover>	[0..1]	±		2260
	PlanStatus <PlanSts>	[0..1]	±		2260
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		2260

Constraints

- **AmountRule**

(Rule)

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

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

Error handling:

- Error severity: Fatal
- Error Code: X00295
- Error Text: GrossAmountIndicator is not allowed.

2.4.11 WithdrawalInvestmentPlan <WdrwlInvstmtPlan>

Presence: [0..10]

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

Impacted by: C3 AmountRule

WithdrawalInvestmentPlan <WdrwlInvstmtPlan> contains the following elements (see InvestmentPlan17 on page 2253 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		2254
	StartDate <StartDt>	[0..1]	Date		2254
	EndDate <EndDt>	[0..1]	Date		2254
	Quantity <Qty>	[1..1]	±		2254
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		2254
	IncomePreference <IncmPref>	[0..1]	CodeSet		2255
	InitialAmount <InitlAmt>	[0..1]	±		2255
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		2255
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		2255
	SecurityDetails <SctyDtls>	[1..50]			2256
	Quantity <Qty>	[1..1]	±		2256
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	2256
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	2257
	CashSettlement <CshSttlm>	[0..8]	±		2258
	ContractReference <CtrctRef>	[0..1]	Text		2259
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		2259
	ProductIdentification <PdctId>	[0..1]	Text		2260
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		2260
	InsuranceCover <InsrncCover>	[0..1]	±		2260
	PlanStatus <PlanSts>	[0..1]	±		2260
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		2260

Constraints

- **AmountRule**

(Rule)

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

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00295
- *Error Text:* GrossAmountIndicator is not allowed.

2.4.12 CashSettlement <CshSttlm>

Presence: [0..8]

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

CashSettlement <CshSttlm> contains the following elements (see [CashSettlement3](#) on page 2941 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAccountDetails <CshAcctDtls>	[0..*]			2942
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2943
	Identification <Id>	[1..1]	±		2944
	AccountOwner <AcctOwnr>	[0..1]	±		2944
	AccountServicer <AcctSvcr>	[0..1]	±		2944
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2945
	AccountOwnerOtherIdentification <AcctOwnrOthrlid>	[0..*]	±		2945
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2946
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2946
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2946
{Or	Code <Cd>	[1..1]	CodeSet		2947
Or}	Proprietary <Prtry>	[1..1]	±		2947
	CashAccountPurpose <CshAcctPurp>	[0..1]			2948
{Or	Code <Cd>	[1..1]	CodeSet		2948
Or}	Proprietary <Prtry>	[1..1]	±		2948
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2949
{Or	Code <Cd>	[1..1]	CodeSet		2949
Or}	Proprietary <Prtry>	[1..1]	±		2949
	DividendPercentage <DvddPctg>	[0..1]	Rate		2949
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2949

2.4.13 ServiceLevelAgreement <SvcLvlAgrmt>

Presence: [0..30]

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

ServiceLevelAgreement <SvcLvlAgrmt> contains the following elements (see [DocumentToSend4](#) on page 2912 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2912
	Recipient <Rcpt>	[1..1]	±		2912
	MethodOfTransmission <MtdOfTrnsmssn>	[1..1]			2913
{Or	Code <Cd>	[1..1]	CodeSet		2913
Or}	Proprietary <Prtry>	[1..1]	±		2913

2.4.14 AdditionalInformation <AddtlInf>

Presence: [0..*]

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

AdditionalInformation <AddtlInf> contains the following elements (see [AdditiononallInformation13](#) on page 2376 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		2377
	AdditionalInformation <AddtlInf>	[0..1]	Text		2377
	AccountValidation <AcctVldtn>	[0..1]	Text		2377
	Type <Tp>	[0..1]	Text		2377
	Regulator <Rgltr>	[0..1]	±		2377
	Status <Sts>	[0..1]			2378
{Or	Code <Cd>	[1..1]	CodeSet		2378
Or}	Proprietary <Prtry>	[1..1]	±		2378
	Period <Prd>	[0..1]			2378
	FromDateTime <FrDtTm>	[1..1]	DateTime		2379
	ToDateTime <ToDtTm>	[0..1]	DateTime		2379

2.4.15 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

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

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

2.4.16 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C8 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

3 **MX acmt.002.001.08** **AccountDetailsConfirmationV08**

3.1 **MessageDefinition Functionality**

Scope

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

Usage

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

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

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

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

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

Outline

The AccountDetailsConfirmationV08 MessageDefinition is composed of 16 MessageBuildingBlocks:

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

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

G. Intermediaries

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

H. Placement

Confirmation of referral information.

I. NewIssueAllocation

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

J. SavingsInvestmentPlan

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

K. WithdrawalInvestmentPlan

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

L. CashSettlement

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

M. ServiceLevelAgreement

Identifies documents to be provided for the account opening.

N. AdditionalInformation

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

O. MarketPracticeVersion

Identifies the market practice to which the message conforms.

P. Extension

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

3.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctDtlsConf>	[1..1]		C22, C33	
	MessageIdentification <MsgId>	[1..1]	±		55
	OrderReference <OrdrRef>	[0..1]	±		55
	RelatedReference <RltdRef>	[0..1]	±		55
	ConfirmationDetails <ConfDtls>	[1..1]			55
	ConfirmationType <ConfTp>	[1..1]	±		56
	AccountApplicationIdentification <AcctApplId>	[0..1]	Text		56
	ClientReference <ClntRef>	[0..1]	Text		56
	CounterpartyReference <CtrPtyRef>	[0..1]	±		56
	ExistingAccountIdentification <ExstgAcctId>	[0..*]	±		57
	InvestmentAccount <InvstmtAcct>	[0..1]	±	C21, C31, C17	57
	AccountParties <AcctPties>	[0..1]	±		60
	Intermediaries <Intrmies>	[0..*]	±		60
	Placement <Plcmnt>	[0..1]	±	C30	61
	NewIssueAllocation <NewIssseAllcn>	[0..1]	±		61
	SavingsInvestmentPlan <SvgsInvstmtPlan>	[0..50]	±	C3	62
	WithdrawalInvestmentPlan <WdrwlInvstmtPlan>	[0..10]	±	C3	64
	CashSettlement <CshSttlm>	[0..8]	±		65
	ServiceLevelAgreement <SvcLvlAgrmt>	[0..30]	±		66
	AdditionalInformation <AddtlInf>	[0..*]	±		67
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		67
	Extension <Xtnsn>	[0..*]	±	C16	68

3.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AmountRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00295
- *Error Text:* GrossAmountIndicator is not allowed.

C4 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C5 BICFI

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C6 ClosedStatus1Rule

(Rule)

If Closed is present then Enabled is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00404
- *Error Text:* Enabled is not allowed when Closed is present.

C7 ClosedStatus2Rule

(Rule)

If Closed is present then Disabled is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00406
- *Error Text:* Disabled is not allowed when Closed is present.

C8 ClosedStatus3Rule

(Rule)

If Closed is present then Pending is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00405
- *Error Text:* Pending is not allowed when Closed is present.

C9 ClosedStatus4Rule

(Rule)

If Closed is present then PendingOpening is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00407
- *Error Text:* PendingOpening is not allowed when Closed is present.

C10 ClosedStatus5Rule

(Rule)

If Closed is present then Proforma is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00408
- *Error Text:* Proforma is not allowed when Closed is present.

C11 ClosedStatus6Rule

(Rule)

If Closed is present then ClosurePending is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00409
- *Error Text:* ClosurePending is not allowed when Closed is present.

C12 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C13 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C14 EnabledDisabledStatus1Rule

(Rule)

If Enabled is present, then Disabled is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00402
- *Error Text:* Disabled is not allowed when Enabled is present.

C15 EnabledDisabledStatus2Rule

(Rule)

If Disabled is present, then Enabled is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00403
- *Error Text:* Enabled is not allowed when Disabled is present.

C16 ExtensionRule

(Rule)

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

C17 FinancialInstrumentDetailsGuideline

(Guideline)

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

C18 HoldingCertificateNumberRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00294
- *Error Text:* HoldingCertificateNumber must be present.

C19 IBAN

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C20 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

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

C21 IncomePreferenceReinvestment1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00326
- *Error Text:* ReinvestmentDetails is not allowed because IncomePreference is CASH.

C22 InvestmentAccountRule

(Rule)

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

This constraint is defined at the MessageDefinition level.

C23 MailingIndicatorRule

(Rule)

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

C24 OrganisationElementRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C25 OwnershipBeneficiaryRateRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C26 PartialHoldingUnits1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00291
- *Error Text:* PartialHoldingUnits must not be present.

C27 PartialHoldingUnits2Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00293
- *Error Text:* PartialHoldingUnits must be present.

C28 PartialHoldingUnits3Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00292
- *Error Text:* PartialHoldingUnits must not be present.

C29 PoliticallyExposedPersonTypeRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00449
- *Error Text:* PoliticallyExposedPersonStatus must not be present.

C30 ReferredPlacementAgentRule

(Rule)

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

C31 ReinvestmentPercentage1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:* Reinvestment Percentage must not be greater than 100.

C32 StatusElementRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C33 UnitRule

(Rule)

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

On Condition

 /SavingsInvestmentPlan[*] is present

Following Must be True

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00296
- *Error Text:* Unit is not allowed.

This constraint is defined at the MessageDefinition level.

C34 ValidationByTable

(Rule)

Must be a valid terrestrial language. (Algorithm)

C35 ValidationByTable

(Rule)

Must be a valid nationality. (Algorithm)

3.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

3.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

3.4.2 OrderReference <OrdRef>

Presence: [0..1]

Definition: Identifies a related order or settlement transaction.

OrderReference <OrdRef> contains the following elements (see [InvestmentFundOrder4](#) on page 2336 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdRef>	[0..1]	Text		2337
	MasterReference <MstrRef>	[0..1]	Text		2337

3.4.3 RelatedReference <RltdRef>

Presence: [0..1]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference13](#) on page 2000 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2000
	ReferenceIssuer <RefIssr>	[0..1]	±		2000
	MessageName <MsgNm>	[0..1]	Text		2000

3.4.4 ConfirmationDetails <ConfDtls>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ConfirmationType <ConfTp>	[1..1]	±		56
	AccountApplicationIdentification <AcctApplId>	[0..1]	Text		56
	ClientReference <ClntRef>	[0..1]	Text		56
	CounterpartyReference <CtrPtyRef>	[0..1]	±		56
	ExistingAccountIdentification <ExstgAcctId>	[0..*]	±		57

3.4.4.1 ConfirmationType <ConfTp>

Presence: [1..1]

Definition: Specifies the confirmation type.

ConfirmationType <ConfTp> contains one of the following elements (see [ConfirmationType1Choice](#) on page 1588 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1589
Or}	Proprietary <Prtry>	[1..1]	±		1589

3.4.4.2 AccountApplicationIdentification <AcctApplId>

Presence: [0..1]

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

Datatype: [Max35Text](#) on page 3409

3.4.4.3 ClientReference <ClntRef>

Presence: [0..1]

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

Datatype: [Max35Text](#) on page 3409

3.4.4.4 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

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

CounterpartyReference <CtrPtyRef> contains the following elements (see [AdditionalReference13](#) on page 2000 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2000
	ReferenceIssuer <RefIssr>	[0..1]	±		2000
	MessageName <MsgNm>	[0..1]	Text		2000

3.4.4.5 ExistingAccountIdentification <ExstgAcctId>

Presence: [0..*]

Definition: Account to which the account opening is related.

ExistingAccountIdentification <ExstgAcctId> contains the following elements (see [Account23](#) on page 1590 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1590
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		1590

3.4.5 InvestmentAccount <InvstmtAcct>

Presence: [0..1]

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

Impacted by: [C21 IncomePreferenceReinvestment1Rule](#), [C31 ReinvestmentPercentage1Rule](#), [C17 FinancialInstrumentDetailsGuideline](#)

InvestmentAccount <InvstmtAcct> contains the following elements (see [InvestmentAccount74](#) on page 2028 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2031
	AccountStatus <AcctSts>	[0..1]	±	C6, C7, C8, C9, C10, C11, C14, C15, C32	2031
	BlockedStatus <BlckdSts>	[0..1]	±		2034
	StatusDate <StsDt>	[0..1]	±		2034
	Name <Nm>	[0..1]	Text		2034
	Designation <Dsgnt>	[0..1]	Text		2035
	Type <Tp>	[0..1]	±		2035
	OwnershipType <OwnrshTp>	[0..1]	±		2035
	TaxExemption <TaxXmptn>	[0..1]	±		2035
	StatementFrequency <StmtFrqcy>	[0..1]	±		2036
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C2	2036
	Language <Lang>	[0..1]	CodeSet	C34	2036
	IncomePreference <IncmPref>	[0..1]	CodeSet		2037
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		2037
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		2037
	TaxReporting <TaxRptg>	[0..*]	±		2038
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		2039
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		2040
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		2040
	FundFamilyName <FndFmlyNm>	[0..1]	Text		2040
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±	C20	2040
	RoundingDetails <RndgDtls>	[0..1]	±		2041
	AccountServicer <AcctSvcr>	[0..1]	±		2042
	AccountUsageType <AcctUsqTp>	[0..1]	±		2042
	ForeignStatusCertification <FrqnStsCertfctn>	[0..1]	CodeSet		2042
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		2042
	TransactionChannelType <TxChanITp>	[0..1]	±		2043

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		2043
	Pledging <Pldgg>	[0..1]	CodeSet		2043
	Collateral <Coll>	[0..1]	CodeSet		2043
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		2044
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>	[0..1]	±		2044
	AccountingStatus <AcctgSts>	[0..1]	±		2044
	OpeningDate <OpngDt>	[0..1]	±		2045
	ClosingDate <ClsgDt>	[0..1]	±		2045
	NegativeIndicator <NegInd>	[0..1]	Indicator		2045
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		2045
	Liability <Lbilty>	[0..1]	±		2045
	InvestorProfile <InvstrPrfl>	[0..*]	±		2046
	FiscalYear <Fsclyr>	[0..1]	±		2047

Constraints

- **FinancialInstrumentDetailsGuideline**

(Guideline)

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

- **IncomePreferenceReinvestment1Rule**

(Rule)

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

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00326
- *Error Text:* ReinvestmentDetails is not allowed because IncomePreference is CASH.

- **ReinvestmentPercentage1Rule**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:* Reinvestment Percentage must not be greater than 100.

3.4.6 AccountParties <AcctPties>

Presence: [0..1]

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

AccountParties <AcctPties> contains the following elements (see [AccountParties17](#) on page 2542 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PrincipalAccountParty <PrncplAcctPty>	[1..1]			2543
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		2543
Or	Trustee <Trstee>	[1..5]	±		2545
Or	Nominee <Nmnee>	[1..1]	±		2547
Or}	JointOwner <JntOwnr>	[1..5]	±		2549
	SecondaryOwner <ScndryOwnr>	[0..*]	±		2551
	Beneficiary <Bnfcry>	[0..*]	±		2553
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		2555
	LegalGuardian <LglGuardn>	[0..*]	±		2557
	CustodianForMinor <CtdnForMnr>	[0..*]	±		2559
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		2561
	Administrator <Admstr>	[0..*]	±		2563
	OtherParty <OthrPty>	[0..*]	±		2565
	Granter <Grntr>	[0..*]	±		2565
	Settlor <Sttlr>	[0..*]	±		2567
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		2569
	Protector <Prctcr>	[0..*]	±		2571
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		2573

3.4.7 Intermediaries <Intrmies>

Presence: [0..*]

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

Intermediaries <Intrmies> contains the following elements (see [Intermediary46](#) on page 2597 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			2598
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2598
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2599
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2599
	Account <Acct>	[0..1]			2599
	Identification <Id>	[0..1]	Text		2599
	AccountServicer <AcctSvcr>	[1..1]	±		2599
	WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>	[0..1]	Indicator		2600
	Role <Role>	[0..1]	±		2600
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2600
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2601
	NameAndAddress <NmAndAdr>	[0..1]	±		2601

3.4.8 Placement <Plcmnt>

Presence: [0..1]

Definition: Confirmation of referral information.

Impacted by: [C30 ReferredPlacementAgentRule](#)

Placement <Plcmnt> contains the following elements (see [ReferredAgent3](#) on page 2594 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Referred <Rfrd>	[1..1]	CodeSet		2594
	ReferredPlacementAgent <RfrdPlcmntAgt>	[0..1]	±		2595

Constraints

- **ReferredPlacementAgentRule**

(Rule)

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

3.4.9 NewIssueAllocation <NewlsseAllcn>

Presence: [0..1]

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

NewIssueAllocation <NewIsseAllcn> contains the following elements (see [NewIssueAllocation2](#) on page 2393 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Restricted <Rstrctd>	[1..1]	Indicator		2393
	ExemptPersonReason <XmptPrsnRsn>	[0..1]	Text		2393
	DeMinimus <DeMnms>	[0..1]	±		2393

3.4.10 SavingsInvestmentPlan <SvgsInvstmtPlan>

Presence: [0..50]

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

Impacted by: [C3 AmountRule](#)

SavingsInvestmentPlan <SvgsInvstmtPlan> contains the following elements (see [InvestmentPlan17](#) on page 2253 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		2254
	StartDate <StartDt>	[0..1]	Date		2254
	EndDate <EndDt>	[0..1]	Date		2254
	Quantity <Qty>	[1..1]	±		2254
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		2254
	IncomePreference <IncmPref>	[0..1]	CodeSet		2255
	InitialAmount <InitlAmt>	[0..1]	±		2255
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		2255
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		2255
	SecurityDetails <SctyDtls>	[1..50]			2256
	Quantity <Qty>	[1..1]	±		2256
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	2256
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	2257
	CashSettlement <CshSttlm>	[0..8]	±		2258
	ContractReference <CtrctRef>	[0..1]	Text		2259
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		2259
	ProductIdentification <PdctId>	[0..1]	Text		2260
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		2260
	InsuranceCover <InsrncCover>	[0..1]	±		2260
	PlanStatus <PlanSts>	[0..1]	±		2260
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		2260

Constraints

- **AmountRule**

(Rule)

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

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00295
- *Error Text:* GrossAmountIndicator is not allowed.

3.4.11 WithdrawalInvestmentPlan <WdrwlInvstmtPlan>

Presence: [0..10]

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

Impacted by: C3 AmountRule

WithdrawalInvestmentPlan <WdrwlInvstmtPlan> contains the following elements (see InvestmentPlan17 on page 2253 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		2254
	StartDate <StartDt>	[0..1]	Date		2254
	EndDate <EndDt>	[0..1]	Date		2254
	Quantity <Qty>	[1..1]	±		2254
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		2254
	IncomePreference <IncmPref>	[0..1]	CodeSet		2255
	InitialAmount <InitlAmt>	[0..1]	±		2255
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		2255
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		2255
	SecurityDetails <SctyDtls>	[1..50]			2256
	Quantity <Qty>	[1..1]	±		2256
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	2256
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	2257
	CashSettlement <CshSttlm>	[0..8]	±		2258
	ContractReference <CtrctRef>	[0..1]	Text		2259
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		2259
	ProductIdentification <PdctId>	[0..1]	Text		2260
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		2260
	InsuranceCover <InsrncCover>	[0..1]	±		2260
	PlanStatus <PlanSts>	[0..1]	±		2260
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		2260

Constraints

- **AmountRule**

(Rule)

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

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00295
- *Error Text:* GrossAmountIndicator is not allowed.

3.4.12 CashSettlement <CshSttlm>

Presence: [0..8]

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

CashSettlement <CshSttlm> contains the following elements (see [CashSettlement3](#) on page 2941 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAccountDetails <CshAcctDtls>	[0..*]			2942
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2943
	Identification <Id>	[1..1]	±		2944
	AccountOwner <AcctOwnr>	[0..1]	±		2944
	AccountServicer <AcctSvcr>	[0..1]	±		2944
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2945
	AccountOwnerOtherIdentification <AcctOwnrOthrlid>	[0..*]	±		2945
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2946
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2946
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2946
{Or	Code <Cd>	[1..1]	CodeSet		2947
Or}	Proprietary <Prtry>	[1..1]	±		2947
	CashAccountPurpose <CshAcctPurp>	[0..1]			2948
{Or	Code <Cd>	[1..1]	CodeSet		2948
Or}	Proprietary <Prtry>	[1..1]	±		2948
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2949
{Or	Code <Cd>	[1..1]	CodeSet		2949
Or}	Proprietary <Prtry>	[1..1]	±		2949
	DividendPercentage <DvddPctg>	[0..1]	Rate		2949
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2949

3.4.13 ServiceLevelAgreement <SvcLvlAgrmt>

Presence: [0..30]

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

ServiceLevelAgreement <SvcLvlAgrmt> contains the following elements (see [DocumentToSend4](#) on page 2912 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2912
	Recipient <Rcpt>	[1..1]	±		2912
	MethodOfTransmission <MtdOfTrnsmssn>	[1..1]			2913
{Or	Code <Cd>	[1..1]	CodeSet		2913
Or}	Proprietary <Prtry>	[1..1]	±		2913

3.4.14 AdditionalInformation <AddtlInf>

Presence: [0..*]

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

AdditionalInformation <AddtlInf> contains the following elements (see [AdditiononallInformation13](#) on page 2376 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		2377
	AdditionalInformation <AddtlInf>	[0..1]	Text		2377
	AccountValidation <AcctVldtn>	[0..1]	Text		2377
	Type <Tp>	[0..1]	Text		2377
	Regulator <Rgltr>	[0..1]	±		2377
	Status <Sts>	[0..1]			2378
{Or	Code <Cd>	[1..1]	CodeSet		2378
Or}	Proprietary <Prtry>	[1..1]	±		2378
	Period <Prd>	[0..1]			2378
	FromDateTime <FrDtTm>	[1..1]	DateTime		2379
	ToDateTime <ToDtTm>	[0..1]	DateTime		2379

3.4.15 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

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

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

3.4.16 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C16 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

4 **MX acmt.003.001.08** **AccountModificationInstructionV08**

4.1 **MessageDefinition Functionality**

Scope

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

Usage

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

The AccountModificationInstruction message can be used to:

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

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

Execution of the AccountModificationInstruction is confirmed via an AccountDetailsConfirmation message.

Outline

The AccountModificationInstructionV08 MessageDefinition is composed of 16 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PreviousReference
Reference to a linked message that was previously sent.
- C. InstructionDetails
Information about the modification instruction.
- D. InvestmentAccountSelection
Identifies the account for which the information is modified.
- E. ModifiedInvestmentAccount
Information related to general characteristics of the account to be inserted, updated or deleted.

F. ModifiedAccountParties

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

G. ModifiedIntermediaries

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

H. ModifiedPlacement

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

I. ModifiedIssueAllocation

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

J. ModifiedSavingsInvestmentPlan

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

K. ModifiedWithdrawalInvestmentPlan

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

L. ModifiedCashSettlement

Cash settlement standing instruction to be either inserted or deleted.

M. ModifiedServiceLevelAgreement

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

N. ModifiedAdditionalInformation

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

O. MarketPracticeVersion

Identifies the market practice to which the message conforms.

P. Extension

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

4.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctModInstr>	[1..1]		C30	
	MessageIdentification <MsgId>	[1..1]	±		79
	PreviousReference <PrvsRef>	[0..1]	±		79
	InstructionDetails <InstrDtls>	[0..1]		C18	79
	ModificationReason <ModRsn>	[0..1]	Text		80
	AccountApplicationIdentification <AcctApplId>	[0..1]	Text		80
	ClientReference <ClntRef>	[0..1]	Text		80
	CounterpartyReference <CtrPtyRef>	[0..1]	±		80
	ExistingAccountIdentification <ExstgAcctId>	[0..*]	±		81
	InvestmentAccountSelection <InvstmtAcctSelctn>	[1..1]			81
{Or	AccountIdentification <AcctId>	[1..1]	Text		81
Or}	OtherAccountSelectionData <OthrAcctSelctnData>	[1..1]	±	C1	81
	ModifiedInvestmentAccount <ModfdInvstmtAcct>	[0..1]	±	C2, C17, C29, C12	83
	ModifiedAccountParties <ModfdAcctPties>	[0..*]	±	C5	86
	ModifiedIntermediaries <ModfdIntrmies>	[0..*]	±		88
	ModifiedPlacement <ModfdPlcmnt>	[0..1]	±		88
	ModifiedIssueAllocation <ModfdIsseAllcn>	[0..1]	±		88
	ModifiedSavingsInvestmentPlan <ModfdSvgsInvstmtPlan>	[0..50]	±		89
	ModifiedWithdrawalInvestmentPlan <ModfdWdrwlInvstmtPlan>	[0..10]	±		90
	ModifiedCashSettlement <ModfdCshSttlm>	[0..8]	±		91
	ModifiedServiceLevelAgreement <ModfdSvclvlAgrmt>	[0..30]	±		92
	ModifiedAdditionalInformation <ModfdAddtlInf>	[0..*]	±		93
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		93
	Extension <Xtnsn>	[0..*]	±	C11	93

4.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountDataElementRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C2 AccountElementRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C3 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AddressRule

(Rule)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

C6 AmountRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00295
- *Error Text:* GrossAmountIndicator is not allowed.

C7 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C8 BICFI

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C9 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C10 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 ExtensionRule

(Rule)

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

C12 FinancialInstrumentDetailsGuideline

(Guideline)

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

C13 HoldingCertificateNumberRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00294
- *Error Text:* HoldingCertificateNumber must be present.

C14 IBAN

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C15 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

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

C16 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

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

C17 IncomePreferenceReinvestmentRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00326
- *Error Text:* ReinvestmentDetails is not allowed becauseIncomePreference is CASH.

C18 InstructionDetailsElementRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C19 MailingIndicatorRule

(Rule)

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

C20 OrganisationElementRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C21 OrganisationIdentificationRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00380

- *Error Text:* Identification or Legal Entity Identifier must be present.

C22 OwnershipBeneficiaryRateRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C23 PartialHoldingUnits1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00291
- *Error Text:* PartialHoldingUnits must not be present.

C24 PartialHoldingUnits2Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00293
- *Error Text:* PartialHoldingUnits must be present.

C25 PartialHoldingUnits3Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00292
- *Error Text:* PartialHoldingUnits must not be present.

C26 PoliticallyExposedPersonTypeRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00449
- *Error Text:* PoliticallyExposedPersonStatus must not be present.

C27 ReasonElementRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C28 ReferredPlacementAgentRule

(Rule)

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

C29 ReinvestmentPercentageRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:* Reinvestment Percentage must not be greater 100.

C30 UnitRule

(Rule)

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

On Condition

/ModifiedSavingsInvestmentPlan[*] is present

Following Must be True

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00296
- *Error Text:* Unit is not allowed.

This constraint is defined at the MessageDefinition level.

C31 ValidationByTable

(Rule)

Must be a valid terrestrial language. (Algorithm)

C32 ValidationByTable

(Rule)

Must be a valid nationality. (Algorithm)

4.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

4.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

4.4.2 PreviousReference <PrvsRef>

Presence: [0..1]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference13](#) on page 2000 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2000
	Referencelssuer <RefIssr>	[0..1]	±		2000
	MessageName <MsgNm>	[0..1]	Text		2000

4.4.3 InstructionDetails <InstrDtls>

Presence: [0..1]

Definition: Information about the modification instruction.

Impacted by: [C18 InstructionDetailsElementRule](#)

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationReason <ModRsn>	[0..1]	Text		80
	AccountApplicationIdentification <AcctApplId>	[0..1]	Text		80
	ClientReference <ClntRef>	[0..1]	Text		80
	CounterpartyReference <CtrPtyRef>	[0..1]	±		80
	ExistingAccountIdentification <ExstgAcctId>	[0..*]	±		81

Constraints

- **InstructionDetailsElementRule**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

4.4.3.1 ModificationReason <ModRsn>

Presence: [0..1]

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

Datatype: Max350Text on page 3409

4.4.3.2 AccountApplicationIdentification <AcctApplId>

Presence: [0..1]

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

Datatype: Max35Text on page 3409

4.4.3.3 ClientReference <ClntRef>

Presence: [0..1]

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

Datatype: Max35Text on page 3409

4.4.3.4 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

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

CounterpartyReference <CtrPtyRef> contains the following elements (see [AdditionalReference13](#) on page 2000 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2000
	Referencelssuer <RefIssr>	[0..1]	±		2000
	MessageName <MsgNm>	[0..1]	Text		2000

4.4.3.5 ExistingAccountIdentification <ExstgAcctId>

Presence: [0..*]

Definition: Account to which the account opening is related.

ExistingAccountIdentification <ExstgAcctId> contains the following elements (see [Account23](#) on page 1590 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1590
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		1590

4.4.4 InvestmentAccountSelection <InvstmtAcctSelctn>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AccountIdentification <AcctId>	[1..1]	Text		81
Or}	OtherAccountSelectionData <OthrAcctSelctnData>	[1..1]	±	C1	81

4.4.4.1 AccountIdentification <AcctId>

Presence: [1..1]

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

Datatype: [Max35Text](#) on page 3409

4.4.4.2 OtherAccountSelectionData <OthrAcctSelctnData>

Presence: [1..1]

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

Impacted by: [C1 AccountDataElementRule](#)

OtherAccountSelectionData <OthrAcctSelctnData> contains the following elements (see [InvestmentAccount76 on page 2114](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2115
	Designation <Dsgnt>	[0..1]	Text		2115
	FundType <FndTp>	[0..1]	Text		2115
	FundFamilyName <FndFmlyNm>	[0..1]	Text		2115
	SecurityDetails <SctyDtls>	[0..1]		C4	2115
	Identification <Id>	[1..1]	±		2116
	Name <Nm>	[0..1]	Text		2117
	ShortName <ShrtNm>	[0..1]	Text		2117
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		2117
	ClassType <ClsTp>	[0..1]	Text		2118
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2118
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		2118
	ProductGroup <PdctGrp>	[0..1]	Text		2118
	AccountOwner <AcctOwnr>	[0..1]			2118
{Or	IndividualOwnerIdentification <IndvOwnrId>	[1..1]			2119
{Or	IdentificationNumber <IdNb>	[1..1]	±		2119
Or}	PersonName <PrsnNm>	[1..1]	±		2119
Or}	OrganisationOwnerIdentification <OrgOwnrId>	[1..1]	±	C6	2120
	Intermediary <Intrmy>	[0..*]	±		2121
	AccountServicer <AcctSvcr>	[0..1]	±		2121

Constraints

• **AccountDataElementRule**

(Rule)

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

Error handling:

- Error severity: Fatal
- Error Code:

– *Error Text:*

4.4.5 ModifiedInvestmentAccount <ModfdInvstmtAcct>

Presence: [0..1]

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

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

ModifiedInvestmentAccount <ModfdInvstmtAcct> contains the following elements (see [InvestmentAccount75 on page 2096](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountStatusUpdateInstruction <AcctStsUpdInstr>	[0..1]	±		2099
	Name <Nm>	[0..1]	Text		2099
	Designation <Dsgnt>	[0..1]	Text		2100
	Type <Tp>	[0..1]	±		2100
	OwnershipType <OwnrshTp>	[0..1]	±		2100
	TaxExemption <TaxXmptn>	[0..1]	±		2100
	StatementFrequency <StmtFrqcy>	[0..1]	±		2101
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C2	2101
	Language <Lang>	[0..1]	CodeSet	C34	2101
	IncomePreference <IncmPref>	[0..1]	CodeSet		2102
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		2102
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		2102
	TaxReporting <TaxRptg>	[0..*]	±		2103
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		2104
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		2105
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		2105
	FundFamilyName <FndFmlyNm>	[0..1]	Text		2105
	ModifiedFinancialInstrumentDetails <ModfdFinInstrmDtls>	[0..*]			2105
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2105
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	2106
	RoundingDetails <RndgDtls>	[0..1]	±		2107
	AccountServicer <AcctSvcr>	[0..1]	±		2107
	BlockedStatus <BlckdSts>	[0..1]	±		2107
	AccountUsageType <AcctUsgTp>	[0..1]	±		2108
	ForeignStatusCertification <FrgnStsCertfctn>	[0..1]	CodeSet		2108
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		2108
	TransactionChannelType <TxChanITp>	[0..1]	±		2109
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		2109
	Pledging <Pldgg>	[0..1]	CodeSet		2109
	Collateral <Coll>	[0..1]	CodeSet		2109

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		2110
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>	[0..1]	±		2110
	AccountingStatus <AcctgSts>	[0..1]	±		2110
	OpeningDate <OpngDt>	[0..1]	±		2111
	ClosingDate <ClsgDt>	[0..1]	±		2111
	NegativeIndicator <NegInd>	[0..1]	Indicator		2111
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		2111
	Liability <Lbly>	[0..1]	±		2111
	ModifiedInvestorProfile <ModfdInvstrPrfl>	[0..*]			2112
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		2112
	InvestorProfile <InvstrPrfl>	[1..1]	±		2112
	FiscalYear <Fsclyr>	[0..1]	±		2113

Constraints

- **AccountElementRule**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **FinancialInstrumentDetailsGuideline**

(Guideline)

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

- **IncomePreferenceReinvestmentRule**

(Rule)

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

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00326
- *Error Text:* ReinvestmentDetails is not allowed becauseIncomePreference is CASH.

• **ReinvestmentPercentageRule**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:* Reinvestment Percentage must not be greater 100.

4.4.6 ModifiedAccountParties <ModfdAcctPties>

Presence: [0..*]

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

Impacted by: C5 AddressRule

ModifiedAccountParties <ModfdAcctPties> contains the following elements (see [AccountParties18](#) on page 2507 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2509
	PrincipalAccountParty <PrncplAcctPty>	[0..1]			2509
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		2509
Or	Trustee <Trstee>	[1..5]	±		2512
Or	Nominee <Nmnee>	[1..1]	±		2514
Or}	JointOwner <JntOwnr>	[1..5]	±		2516
	SecondaryOwner <ScndryOwnr>	[0..*]	±		2518
	Beneficiary <Bnfcry>	[0..*]	±		2520
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		2522
	LegalGuardian <LglGuardn>	[0..*]	±		2524
	CustodianForMinor <CtdnForMnr>	[0..*]	±		2526
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		2528
	Administrator <Admstr>	[0..*]	±		2530
	OtherParty <OthrPty>	[0..*]	±		2532
	Granter <Grntr>	[0..*]	±		2532
	Settlor <Sttlr>	[0..*]	±		2535
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		2537
	Protector <Prctr>	[0..*]	±		2539
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		2541

Constraints

- **AddressRule**

(Rule)

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

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

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

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

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

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

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

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

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

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

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

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

SeniorManagingOfficial/.ModifiedPostalAddress/ModificationScopeIndication/INSE
 (InsertNewDataSet)

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

4.4.7 ModifiedIntermediaries <ModfdIntrmies>

Presence: [0..*]

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

ModifiedIntermediaries <ModfdIntrmies> contains the following elements (see [ModificationScope40](#) on page 2575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2575
	Intermediary <Intrmy>	[1..1]	±		2575

4.4.8 ModifiedPlacement <ModfdPlcmnt>

Presence: [0..1]

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

ModifiedPlacement <ModfdPlcmnt> contains the following elements (see [ModificationScope43](#) on page 2574 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2574
	Placement <Plcmnt>	[1..1]	±	C30	2574

4.4.9 ModifiedIssueAllocation <ModfdlsseAllcn>

Presence: [0..1]

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

ModifiedIssueAllocation <ModfdIsseAllcn> contains the following elements (see [ModificationScope21](#) on page 2383 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2383
	IssueAllocation <IsseAllcn>	[1..1]	±		2384

4.4.10 **ModifiedSavingsInvestmentPlan** **<ModfdSvgsInvstmtPlan>**

Presence: [0..50]

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

ModifiedSavingsInvestmentPlan <ModfdSvgsInvstmtPlan> contains the following elements (see [ModificationScope41](#) on page 2243 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2244
	InvestmentPlan <InvstmtPlan>	[1..1]		C6	2244
	Frequency <Frqcy>	[1..1]	±		2246
	StartDate <StartDt>	[0..1]	Date		2246
	EndDate <EndDt>	[0..1]	Date		2246
	Quantity <Qty>	[1..1]	±		2246
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		2246
	IncomePreference <IncmPref>	[0..1]	CodeSet		2247
	InitialAmount <InitlAmt>	[0..1]	±		2247
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		2247
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		2247
	SecurityDetails <SctyDtls>	[1..50]			2247
	Quantity <Qty>	[1..1]	±		2248
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	2248
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	2249
	ModifiedCashSettlement <ModfdCshSttlm>	[0..8]	±		2250
	ContractReference <CtrctRef>	[0..1]	Text		2251
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		2251
	ProductIdentification <PdctId>	[0..1]	Text		2252
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		2252
	InsuranceCover <InsrncCover>	[0..1]	±		2252
	PlanStatus <PlanSts>	[0..1]	±		2252
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		2252

4.4.11 **ModifiedWithdrawalInvestmentPlan <ModfdWdrwlInvstmtPlan>**

Presence: [0..10]

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

ModifiedWithdrawalInvestmentPlan <ModfdWdrwlInvstmtPlan> contains the following elements
 (see [ModificationScope41](#) on page 2243 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2244
	InvestmentPlan <InvstmtPlan>	[1..1]		C6	2244
	Frequency <Frqcy>	[1..1]	±		2246
	StartDate <StartDt>	[0..1]	Date		2246
	EndDate <EndDt>	[0..1]	Date		2246
	Quantity <Qty>	[1..1]	±		2246
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		2246
	IncomePreference <IncmPref>	[0..1]	CodeSet		2247
	InitialAmount <InitlAmt>	[0..1]	±		2247
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		2247
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		2247
	SecurityDetails <SctyDtls>	[1..50]			2247
	Quantity <Qty>	[1..1]	±		2248
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	2248
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	2249
	ModifiedCashSettlement <ModfdCshSttlm>	[0..8]	±		2250
	ContractReference <CtrctRef>	[0..1]	Text		2251
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		2251
	ProductIdentification <PdctId>	[0..1]	Text		2252
	SLChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		2252
	InsuranceCover <InsrncCover>	[0..1]	±		2252
	PlanStatus <PlanSts>	[0..1]	±		2252
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		2252

4.4.12 ModifiedCashSettlement <ModfdCshSttlm>

Presence: [0..8]

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

ModifiedCashSettlement <ModfdCshSttlm> contains the following elements (see [CashSettlement4](#) on page 2950 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2951
	CashAccountDetails <CshAcctDtls>	[0..*]			2951
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2952
	Identification <Id>	[1..1]	±		2953
	AccountOwner <AcctOwnr>	[0..1]	±		2953
	AccountServicer <AcctSvcr>	[0..1]	±		2953
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2954
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		2954
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2955
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2955
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2955
{Or	Code <Cd>	[1..1]	CodeSet		2956
Or}	Proprietary <Prtry>	[1..1]	±		2956
	CashAccountPurpose <CshAcctPurp>	[0..1]			2957
{Or	Code <Cd>	[1..1]	CodeSet		2957
Or}	Proprietary <Prtry>	[1..1]	±		2957
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2958
{Or	Code <Cd>	[1..1]	CodeSet		2958
Or}	Proprietary <Prtry>	[1..1]	±		2958
	DividendPercentage <DvddPctg>	[0..1]	Rate		2958
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2958

4.4.13 **ModifiedServiceLevelAgreement <ModfdSvcLvlAgrmt>**

Presence: [0..30]

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

ModifiedServiceLevelAgreement <ModfdSvcLvlAgrmt> contains the following elements (see [ModificationScope44](#) on page 2914 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2914
	ServiceLevelAgreement <SvcLvlAgrmt>	[1..1]	±		2914

4.4.14 ModifiedAdditionalInformation <ModfdAddtlInf>

Presence: [0..*]

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

ModifiedAdditionalInformation <ModfdAddtlInf> contains the following elements (see [ModificationScope45](#) on page 2375 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2375
	AdditionalInformation <AddtlInf>	[1..*]	±		2376

4.4.15 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

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

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

4.4.16 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C11 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

5 **MX acmt.004.001.06 GetAccountDetailsV06**

5.1 **MessageDefinition Functionality**

Scope

The GetAccountDetails message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to query the details of an existing account.

Usage

The GetAccountDetails message is used to query all or some of the account details for a given account held with an account servicer.

The message is used prior to an AccountModificationInstruction in order to validate account information before requesting a modification.

The GetAccountDetails message may also be used to collect account information for general account reconciliation purposes.

The response to a GetAccountDetails message is via an AccountDetailsConfirmation message.

Outline

The GetAccountDetailsV06 MessageDefinition is composed of 3 MessageBuildingBlocks:

A. MessageIdentification

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

B. InvestmentAccountSelection

Identifies the account for which query is sent.

C. SelectedInformationType

Identifies the type of information that is to be returned via an AccountDetailsConfirmation message.

5.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <GetAcctDtls>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		97
	InvestmentAccountSelection <InvstmtAcctSelctn>	[1..1]			98
{Or	AccountIdentification <AcctId>	[1..1]	Text		98
Or}	OtherAccountSelectionData <OthrAcctSelctnData>	[1..1]	±	C1	98
	SelectedInformationType <SelctdInfTp>	[1..1]			100
	InvestmentAccount <InvstmtAcct>	[1..1]	Indicator		100
	AccountParties <AcctPties>	[1..1]	Indicator		100
	Intermediaries <Intrmies>	[1..1]	Indicator		100
	InvestmentPlan <InvstmtPlan>	[1..1]	Indicator		101
	CashSettlement <CshSttlm>	[1..1]	Indicator		101
	ServiceLevelAgreement <SvcLvlAgrmt>	[1..1]	Indicator		101

5.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountDataElementRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C2 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C3 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C4 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

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

C5 MailingIndicatorRule

(Rule)

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

C6 OrganisationIdentificationRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00380
- *Error Text:* Identification or Legal Entity Identifier must be present.

5.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

5.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

5.4.2 InvestmentAccountSelection <InvstmtAcctSelctn>

Presence: [1..1]

Definition: Identifies the account for which query is sent.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AccountIdentification <AcctId>	[1..1]	Text		98
Or}	OtherAccountSelectionData <OthrAcctSelctnData>	[1..1]	±	C1	98

5.4.2.1 AccountIdentification <AcctId>

Presence: [1..1]

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

Datatype: [Max35Text](#) on page 3409

5.4.2.2 OtherAccountSelectionData <OthrAcctSelctnData>

Presence: [1..1]

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

Impacted by: [C1 AccountDataElementRule](#)

OtherAccountSelectionData <OthrAcctSelctnData> contains the following elements (see [InvestmentAccount76 on page 2114](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2115
	Designation <Dsgnt>	[0..1]	Text		2115
	FundType <FndTp>	[0..1]	Text		2115
	FundFamilyName <FndFmlyNm>	[0..1]	Text		2115
	SecurityDetails <SctyDtls>	[0..1]		C4	2115
	Identification <Id>	[1..1]	±		2116
	Name <Nm>	[0..1]	Text		2117
	ShortName <ShrtNm>	[0..1]	Text		2117
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		2117
	ClassType <ClsTp>	[0..1]	Text		2118
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2118
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		2118
	ProductGroup <PdctGrp>	[0..1]	Text		2118
	AccountOwner <AcctOwnr>	[0..1]			2118
{Or	IndividualOwnerIdentification <IndvOwnrId>	[1..1]			2119
{Or	IdentificationNumber <IdNb>	[1..1]	±		2119
Or}	PersonName <PrsnNm>	[1..1]	±		2119
Or}	OrganisationOwnerIdentification <OrgOwnrId>	[1..1]	±	C6	2120
	Intermediary <Intrmy>	[0..*]	±		2121
	AccountServicer <AcctSvcr>	[0..1]	±		2121

Constraints

• **AccountDataElementRule**

(Rule)

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

Error handling:

- Error severity: Fatal
- Error Code:

– Error Text:

5.4.3 SelectedInformationType <SelctdInfTp>

Presence: [1..1]

Definition: Identifies the type of information that is to be returned via an AccountDetailsConfirmation message.

SelectedInformationType <SelctdInfTp> contains the following **InvestmentAccountInformationType1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccount <InvstmtAcct>	[1..1]	Indicator		100
	AccountParties <AcctPties>	[1..1]	Indicator		100
	Intermediaries <Intrmies>	[1..1]	Indicator		100
	InvestmentPlan <InvstmtPlan>	[1..1]	Indicator		101
	CashSettlement <CshSttlm>	[1..1]	Indicator		101
	ServiceLevelAgreement <SvcLvlAgrmt>	[1..1]	Indicator		101

5.4.3.1 InvestmentAccount <InvstmtAcct>

Presence: [1..1]

Definition: Indicates if the core investment account information must be selected.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

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

5.4.3.2 AccountParties <AcctPties>

Presence: [1..1]

Definition: Indicates if the information about account parties must be selected.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

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

5.4.3.3 Intermediaries <Intrmies>

Presence: [1..1]

Definition: Indicates if the information about the intermediaries must be selected.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

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

5.4.3.4 InvestmentPlan <InvstmtPlan>

Presence: [1..1]

Definition: Indicates if the information about the investment plan(s) must be selected.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

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

5.4.3.5 CashSettlement <CshSttlm>

Presence: [1..1]

Definition: Indicates if the cash settlement information must be selected.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

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

5.4.3.6 ServiceLevelAgreement <SvcLvlAgrmt>

Presence: [1..1]

Definition: Indicates if the Service Level Agreement information must be selected.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

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

6 **MX acmt.005.001.06** **RequestForAccountManagementStatusReportV06**

6.1 **MessageDefinition Functionality**

Scope

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

Usage

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

Outline

The RequestForAccountManagementStatusReportV06 MessageDefinition is composed of 2 MessageBuildingBlocks:

A. MessageIdentification

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

B. RequestDetails

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

6.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ReqForAcctMgmtStsRpt>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		104
	RequestDetails <ReqDtls>	[1..1]		C3	105
	LinkedReference <LkdRef>	[0..1]		C4, C5	105
{Or	PreviousReference <PrvsRef>	[1..1]	±		106
Or}	OtherReference <OthrRef>	[1..1]	±		106
	StatusRequestType <StsReqTp>	[1..1]	CodeSet		107
	AccountApplicationIdentification <AcctApplId>	[0..1]	Text		107
	ExistingAccountIdentification <ExstgAcctId>	[0..1]	±		107
	InvestmentAccount <InvstmtAcct>	[0..1]			107
	AccountIdentification <AcctId>	[1..1]	Text		108
	AccountName <AcctNm>	[0..1]	Text		108
	AccountDesignation <AcctDsgnt>	[0..1]	Text		108
	OwnerIdentification <OwnrId>	[0..1]			108
{Or	IndividualOwnerIdentification <IndvOwnrId>	[1..1]			109
{Or	IdentificationNumber <IdNb>	[1..1]	±		109
Or}	PersonName <PrsnNm>	[1..1]	±		109
Or}	OrganisationOwnerIdentification <OrgOwnrId>	[1..1]	±		110
	AccountServicer <AcctSvcr>	[0..1]	±		110

6.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008

– *Error Text:* Invalid BIC.

C2 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C3 LinkedReferenceOrAccountApplicationIdentificationRule

(Rule)

Either LinkedReference or AccountApplicationIdentification must be present.

C4 OtherReferenceGuideline

(Guideline)

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

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

C5 PreviousReferenceGuideline

(Guideline)

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

6.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

6.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

6.4.2 RequestDetails <ReqDtls>

Presence: [1..1]

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

Impacted by: [C3 LinkedReferenceOrAccountApplicationIdentificationRule](#)

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LinkedReference <LkdRef>	[0..1]		C4, C5	105
{Or	PreviousReference <PrvsRef>	[1..1]	±		106
Or}	OtherReference <OthrRef>	[1..1]	±		106
	StatusRequestType <StsReqTp>	[1..1]	CodeSet		107
	AccountApplicationIdentification <AcctAppIld>	[0..1]	Text		107
	ExistingAccountIdentification <ExstgAcctId>	[0..1]	±		107
	InvestmentAccount <InvstmtAcct>	[0..1]			107
	AccountIdentification <AcctId>	[1..1]	Text		108
	AccountName <AcctNm>	[0..1]	Text		108
	AccountDesignation <AcctDsgnt>	[0..1]	Text		108
	OwnerIdentification <OwnrId>	[0..1]			108
{Or	IndividualOwnerIdentification <IndvOwnrId>	[1..1]			109
{Or	IdentificationNumber <IdNb>	[1..1]	±		109
Or}	PersonName <PrsnNm>	[1..1]	±		109
Or}	OrganisationOwnerIdentification <OrgOwnrId>	[1..1]	±		110
	AccountServicer <AcctSvcr>	[0..1]	±		110

Constraints

- **LinkedReferenceOrAccountApplicationIdentificationRule**

(Rule)

Either LinkedReference or AccountApplicationIdentification must be present.

6.4.2.1 LinkedReference <LkdRef>

Presence: [0..1]

Definition: Reference to a linked message.

Impacted by: [C4 OtherReferenceGuideline](#), [C5 PreviousReferenceGuideline](#)

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..1]	±		106
Or}	OtherReference <OthrRef>	[1..1]	±		106

Constraints

- **OtherReferenceGuideline**

(Guideline)

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

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

- **PreviousReferenceGuideline**

(Guideline)

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

6.4.2.1.1 PreviousReference <PrvsRef>

Presence: [1..1]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference13](#) on page 2000 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2000
	ReferenceIssuer <RefIssr>	[0..1]	±		2000
	MessageName <MsgNm>	[0..1]	Text		2000

6.4.2.1.2 OtherReference <OthrRef>

Presence: [1..1]

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

OtherReference <OthrRef> contains the following elements (see [AdditionalReference13](#) on page 2000 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2000
	ReferenceIssuer <RefIssr>	[0..1]	±		2000
	MessageName <MsgNm>	[0..1]	Text		2000

6.4.2.2 StatusRequestType <StsReqTp>

Presence: [1..1]

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

Datatype: [AccountManagementType3Code](#) on page 3242

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

6.4.2.3 AccountApplicationIdentification <AcctApplId>

Presence: [0..1]

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

Datatype: [Max35Text](#) on page 3409

6.4.2.4 ExistingAccountIdentification <ExstgAcctId>

Presence: [0..1]

Definition: Account to which the account opening is related.

ExistingAccountIdentification <ExstgAcctId> contains the following elements (see [Account23](#) on page 1590 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1590
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		1590

6.4.2.5 InvestmentAccount <InvstmtAcct>

Presence: [0..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		108
	AccountName <AcctNm>	[0..1]	Text		108
	AccountDesignation <AcctDsgnt>	[0..1]	Text		108
	OwnerIdentification <Ownrld>	[0..1]			108
{Or	IndividualOwnerIdentification <IndvOwnrld>	[1..1]			109
{Or	IdentificationNumber <IdNb>	[1..1]	±		109
Or}	PersonName <PrsnNm>	[1..1]	±		109
Or}	OrganisationOwnerIdentification <OrgOwnrld>	[1..1]	±		110
	AccountServicer <AcctSvcr>	[0..1]	±		110

6.4.2.5.1 AccountIdentification <AcctId>

Presence: [1..1]

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

Datatype: Max35Text on page 3409

6.4.2.5.2 AccountName <AcctNm>

Presence: [0..1]

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

Datatype: Max35Text on page 3409

6.4.2.5.3 AccountDesignation <AcctDsgnt>

Presence: [0..1]

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

Datatype: Max35Text on page 3409

6.4.2.5.4 OwnerIdentification <Ownrld>

Presence: [0..1]

Definition: Identification of the owner of the account.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndividualOwnerIdentification <IndvOwnrld>	[1..1]			109
{Or	IdentificationNumber <IdNb>	[1..1]	±		109
Or}	PersonName <PrsnNm>	[1..1]	±		109
Or}	OrganisationOwnerIdentification <OrgOwnrld>	[1..1]	±		110

6.4.2.5.4.1 IndividualOwnerIdentification <IndvOwnrld>

Presence: [1..1]

Definition: Identification of the individual person.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IdentificationNumber <IdNb>	[1..1]	±		109
Or}	PersonName <PrsnNm>	[1..1]	±		109

6.4.2.5.4.1.1 IdentificationNumber <IdNb>

Presence: [1..1]

Definition: Identification of a party, such as a tax or social security identifier.

IdentificationNumber <IdNb> contains the following elements (see [GenericIdentification81](#) on page 2010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2011
	IdentificationType <IdTp>	[1..1]			2011
{Or	Code <Cd>	[1..1]	CodeSet		2011
Or}	Proprietary <Prtry>	[1..1]	±		2012

6.4.2.5.4.1.2 PersonName <PrsnNm>

Presence: [1..1]

Definition: Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

PersonName <PrsnNm> contains the following elements (see [IndividualPerson30](#) on page 2775 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GivenName <GvnNm>	[0..1]	Text		2775
	MiddleName <MddINm>	[0..1]	Text		2775
	Name <Nm>	[1..1]	Text		2775
	Gender <Gndr>	[0..1]	CodeSet		2775
	BirthDate <BirthDt>	[0..1]	Date		2776

6.4.2.5.4.2 OrganisationOwnerIdentification <OrgOwnrld>

Presence: [1..1]

Definition: Identification of an organisation.

OrganisationOwnerIdentification <OrgOwnrld> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

6.4.2.5.5 AccountServicer <AcctSvcr>

Presence: [0..1]

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

AccountServicer <AcctSvcr> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

7 **MX acmt.006.001.07**

AccountManagementStatusReportV07

7.1 **MessageDefinition Functionality**

Scope

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

Usage

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

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

Outline

The AccountManagementStatusReportV07 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. MessageIdentification

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

B. RelatedReference

Reference to a linked message that was previously received.

C. StatusReport

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

D. MarketPracticeVersion

Identifies the market practice to which the message conforms.

E. Extension

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

7.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctMgmtStsRpt>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		115
	RelatedReference <RltdRef>	[1..2]	±		115
	StatusReport <StsRpt>	[1..1]			115
	Status <Sts>	[1..1]	±		116
	StatusReason <StsRsn>	[0..*]	±		116
	AccountApplicationIdentification <AcctApplId>	[0..1]	Text		116
	ExistingAccountIdentification <ExstgAcctId>	[0..*]	±		117
	AccountIdentification <AcctId>	[0..1]	Text		117
	AccountStatus <AcctSts>	[0..1]	±	C2, C3, C4, C5, C6, C7, C9, C10, C12	117
	BlockedStatus <BlckdSts>	[0..1]	±		120
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		120
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		121
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		121
	Extension <Xtnsn>	[0..*]	±	C11	121

7.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 ClosedStatus1Rule

(Rule)

If Closed is present then Enabled is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00404
- *Error Text:* Enabled is not allowed when Closed is present.

C3 ClosedStatus2Rule

(Rule)

If Closed is present then Disabled is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00406
- *Error Text:* Disabled is not allowed when Closed is present.

C4 ClosedStatus3Rule

(Rule)

If Closed is present then Pending is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00405
- *Error Text:* Pending is not allowed when Closed is present.

C5 ClosedStatus4Rule

(Rule)

If Closed is present then PendingOpening is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00407
- *Error Text:* PendingOpening is not allowed when Closed is present.

C6 ClosedStatus5Rule

(Rule)

If Closed is present then Proforma is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00408

- *Error Text:* Proforma is not allowed when Closed is present.

C7 ClosedStatus6Rule

(Rule)

If Closed is present then ClosurePending is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00409
- *Error Text:* ClosurePending is not allowed when Closed is present.

C8 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 EnabledDisabledStatus1Rule

(Rule)

If Enabled is present, then Disabled is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00402
- *Error Text:* Disabled is not allowed when Enabled is present.

C10 EnabledDisabledStatus2Rule

(Rule)

If Disabled is present, then Enabled is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00403
- *Error Text:* Enabled is not allowed when Disabled is present.

C11 ExtensionRule

(Rule)

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

C12 StatusElementRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

7.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

7.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

7.4.2 RelatedReference <RltdRef>

Presence: [1..2]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference13 on page 2000](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2000
	Referencelssuer <RefIssr>	[0..1]	±		2000
	MessageName <MsgNm>	[0..1]	Text		2000

7.4.3 StatusReport <StsRpt>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	±		116
	StatusReason <StsRsn>	[0..*]	±		116
	AccountApplicationIdentification <AcctAppIld>	[0..1]	Text		116
	ExistingAccountIdentification <ExstgAcctId>	[0..*]	±		117
	AccountIdentification <AcctId>	[0..1]	Text		117
	AccountStatus <AcctSts>	[0..1]	±	C2, C3, C4, C5, C6, C7, C9, C10, C12	117
	BlockedStatus <BlckdSts>	[0..1]	±		120
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		120
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		121

7.4.3.1 Status <Sts>

Presence: [1..1]

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

Status <Sts> contains one of the following elements (see [Status25Choice](#) on page 2994 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2994
Or}	Rejected <Rjctd>	[1..10]	±		2994

7.4.3.2 StatusReason <StsRsn>

Presence: [0..*]

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

StatusReason <StsRsn> contains one of the following elements (see [AcceptedStatusReason1Choice](#) on page 3023 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3023
Or}	Proprietary <Prtry>	[1..1]	±		3023

7.4.3.3 AccountApplicationIdentification <AcctAppIld>

Presence: [0..1]

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

Datatype: [Max35Text on page 3409](#)

7.4.3.4 ExistingAccountIdentification <ExstgAcctId>

Presence: [0..*]

Definition: Account to which the account opening is related.

ExistingAccountIdentification <ExstgAcctId> contains the following elements (see [Account23 on page 1590](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1590
	RelatedAccountDetails <RltdAcctDtIs>	[0..1]	±		1590

7.4.3.5 AccountIdentification <AcctId>

Presence: [0..1]

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

Datatype: [Max35Text on page 3409](#)

7.4.3.6 AccountStatus <AcctSts>

Presence: [0..1]

Definition: Status of the account.

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

AccountStatus <AcctSts> contains the following elements (see [AccountStatus2 on page 3028](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Enabled <NblId>	[0..1]	±		3031
	Disabled <DsblId>	[0..1]	±		3031
	Pending <Pdg>	[0..1]	±		3031
	PendingOpening <PdgOpng>	[0..1]	±		3032
	Proforma <Profrm>	[0..1]	±		3032
	Closed <Clsd>	[0..1]	±		3032
	ClosurePending <ClsrPdg>	[0..1]	±		3033
	Other <Othr>	[0..*]	±		3033

Constraints

- **ClosedStatus1Rule**
(Rule)

If Closed is present then Enabled is not allowed.

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00404
- *Error Text:* Enabled is not allowed when Closed is present.

• **ClosedStatus2Rule**

(Rule)

If Closed is present then Disabled is not allowed.

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00406
- *Error Text:* Disabled is not allowed when Closed is present.

• **ClosedStatus3Rule**

(Rule)

If Closed is present then Pending is not allowed.

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00405
- *Error Text:* Pending is not allowed when Closed is present.

• **ClosedStatus4Rule**

(Rule)

If Closed is present then PendingOpening is not allowed.

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00407

– *Error Text:* PendingOpening is not allowed when Closed is present.

• **ClosedStatus5Rule**

(Rule)

If Closed is present then Proforma is not allowed.

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00408

– *Error Text:* Proforma is not allowed when Closed is present.

• **ClosedStatus6Rule**

(Rule)

If Closed is present then ClosurePending is not allowed.

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00409

– *Error Text:* ClosurePending is not allowed when Closed is present.

• **EnabledDisabledStatus1Rule**

(Rule)

If Enabled is present, then Disabled is not allowed.

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00402

– *Error Text:* Disabled is not allowed when Enabled is present.

• **EnabledDisabledStatus2Rule**

(Rule)

If Disabled is present, then Enabled is not allowed.

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00403
- *Error Text:* Enabled is not allowed when Disabled is present.

• **StatusElementRule**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

7.4.3.7 BlockedStatus <BlckdSts>

Presence: [0..1]

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

BlockedStatus <BlckdSts> contains one of the following elements (see [BlockedStatusReason2Choice](#) on page 3047 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3048
Or}	Reason <Rsn>	[1..*]			3048
	TransactionType <TxTp>	[1..1]			3049
{Or	Code <Cd>	[1..1]	CodeSet		3049
Or}	Proprietary <Prtry>	[1..1]	±		3050
	Blocked <Blckd>	[1..1]	Indicator		3050
	Reason <Rsn>	[0..*]			3050
{Or	Code <Cd>	[1..1]	CodeSet		3051
Or}	Proprietary <Prtry>	[1..1]	±		3051
	AdditionalInformation <AddtlInf>	[1..1]	Text		3051

7.4.3.8 FATCARreportingDate <FATCARptgDt>

Presence: [0..1]

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

Datatype: [ISODate](#) on page 3391

7.4.3.9 CRSReportingDate <CRSRptgDt>

Presence: [0..1]

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

Datatype: [ISODate](#) on page 3391

7.4.4 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

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

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

7.4.5 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C11 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

8 **MX camt.040.001.04** **FundEstimatedCashForecastReportV04**

8.1 **MessageDefinition Functionality**

Scope

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

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

Usage

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

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

The message structure allows for the following uses:

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

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

Outline

The FundEstimatedCashForecastReportV04 MessageDefinition is composed of 9 MessageBuildingBlocks:

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

8.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndEstmtdCshFcstRpt>	[1..1]		C7, C16, C17, C18, C19	
	MessageIdentification <MsgId>	[1..1]	±		129
	PoolReference <PoolRef>	[0..1]	±		129
	PreviousReference <PrvsRef>	[0..*]	±		130
	RelatedReference <RltdRef>	[0..*]	±		130
	MessagePagination <MsgPgntn>	[1..1]	±		130
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..*]	±	C13, C14, C15	130
	EstimatedFundCashForecastDetails <EstmtdFndCshFcstDtls>	[0..*]	±	C10	132
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		133
	Extension <Xtnsn>	[0..*]	±	C11	134

8.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C4 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C5 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C6 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C7 ConsolidatedNetCashRule

(Rule)

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

On Condition

```
    /ConsolidatedNetCashForecast is present  
Following Must be True  
    /FundOrSubFundDetails[*] Must be present  
Or    /EstimatedFundCashForecastDetails[*] Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00351
- *Error Text:* ConsolidatedNetCashForecast must not be present.

This constraint is defined at the MessageDefinition level.

C8 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007

- *Error Text:* Invalid currency code or too many decimal digits.

C10 ExceptionalCashFlowIndicatorRule

(Rule)

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

C11 ExtensionRule

(Rule)

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

C12 FinancialInstrumentIdentificationGuideline

(Guideline)

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

C13 FundIdentification1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00348
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C14 FundIdentification2Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C15 FundIdentification3Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C16 FundOrSubFundAndShareClassGuideline

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

This constraint is defined at the MessageDefinition level.

C17 PreviousTradeDateRule

(Rule)

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

On Condition

/EstimatedFundCashForecastDetails[*] is present

Following Must be True

/FundOrSubFundDetails[*]/PreviousDateTime Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00352
- *Error Text:* PreviousDateTime must not be present.

This constraint is defined at the MessageDefinition level.

C18 TradeDate1Rule

(Rule)

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

On Condition

/EstimatedFundCashForecastDetails[*] is present

Following Must be True

/FundOrSubFundDetails[*]/TradeDateTime Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00353

- *Error Text:* TradeDateTime must not be present.
- This constraint is defined at the MessageDefinition level.*

C19 TradeDate2Rule

(Rule)

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

On Condition

/EstimatedFundCashForecastDetails[*] is absent

Following Must be True

/FundOrSubFundDetails[*]/TradeDateTime Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00354
- *Error Text:* TradeDateTime must be present.

This constraint is defined at the MessageDefinition level.

8.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

8.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Identifies the message.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

8.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference3 on page 2022](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

8.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

8.4.4 RelatedReference <RltdRef>

Presence: [0..*]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

8.4.5 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

8.4.6 FundOrSubFundDetails <FndOrSubFndDtls>

Presence: [0..*]

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

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

FundOrSubFundDetails <FndOrSubFndDtls> contains the following elements (see [Fund1](#) on page 2194 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2196
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2196
	Identification <Id>	[0..1]			2197
	Identification <Id>	[1..1]	Text		2197
	Type <Tp>	[1..1]	±		2197
	Currency <Ccy>	[0..1]	CodeSet	C3	2197
	TradeDateTime <TradDtTm>	[0..1]	±		2198
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		2198
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..1]	Amount	C3, C12	2198
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	2199
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		2200
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		2200
	EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>	[0..1]	Rate		2200
	EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>	[0..*]	±		2200
	EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>	[0..*]	±		2201
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]			2201
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		2201
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	2201
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		2202
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		2202

Constraints

• **FundIdentification1Rule**

(Rule)

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

```

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00348
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification2Rule**

(Rule)

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

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification3Rule**

(Rule)

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

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

8.4.7 **EstimatedFundCashForecastDetails** **<EstmtdFndCshFcstDtls>**

Presence: [0..*]

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

Impacted by: C10 ExceptionalCashFlowIndicatorRule

EstimatedFundCashForecastDetails <EstmtdFndCshFcstDtls> contains the following elements
 (see [EstimatedFundCashForecast6](#) on page 2185 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2186
	TradeDateTime <TradDtTm>	[1..1]	±		2187
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		2187
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	2187
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..*]	Amount	C3, C12	2188
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	2188
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		2189
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		2189
	EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>	[0..1]	Rate		2190
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	2190
	CurrencyStatus <CcySts>	[0..1]	±		2190
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		2190
	Price <Pric>	[0..1]	±		2191
	ForeignExchangeRate <FXRate>	[0..1]	±		2191
	EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClssTtlNAV>	[0..1]	Rate		2191
	EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>	[0..*]	±	C3	2191
	EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>	[0..*]	±	C4	2192
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]	±	C7	2193

Constraints

- **ExceptionalCashFlowIndicatorRule**

(Rule)

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

8.4.8 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

Presence: [0..1]

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

ConsolidatedNetCashForecast <CnsltdNetCshFcst> contains the following elements (see [NetCashForecast3](#) on page 1732 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1732
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1733
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1733

8.4.9 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C11 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

9 **MX camt.041.001.04** **FundConfirmedCashForecastReportV04**

9.1 **MessageDefinition Functionality**

Scope

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

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

Usage

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

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

The message structure allows for the following uses:

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

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

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

Outline

The FundConfirmedCashForecastReportV04 MessageDefinition is composed of 9 MessageBuildingBlocks:

A. MessageIdentification

Identifies the message.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MessagePagination

Pagination of the message.

F. FundOrSubFundDetails

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

G. FundCashForecastDetails

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

H. ConsolidatedNetCashForecast

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

I. Extension

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

9.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndConfdCshFcstRpt>	[1..1]		C7, C16, C17, C18, C19	
	MessageIdentification <MsgId>	[1..1]	±		142
	PoolReference <PoolRef>	[0..1]	±		142
	PreviousReference <PrvsRef>	[0..*]	±		143
	RelatedReference <RltdRef>	[0..*]	±		143
	MessagePagination <MsgPgntn>	[1..1]	±		143
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..*]	±	C13, C14, C15	143
	FundCashForecastDetails <FndCshFcstDtls>	[0..*]	±	C10	145
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		146
	Extension <Xtnsn>	[0..*]	±	C11	147

9.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C4 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C5 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C6 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C7 ConsolidatedNetCashRule

(Rule)

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

On Condition

 /ConsolidatedNetCashForecast is present

Following Must be True

 /FundOrSubFundDetails[*] Must be present

 Or /FundCashForecastDetails[*] Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00351
- *Error Text:* ConsolidatedNetCashForecast must not be present.

This constraint is defined at the MessageDefinition level.

C8 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007

- *Error Text:* Invalid currency code or too many decimal digits.

C10 ExceptionalCashFlowIndicatorRule

(Rule)

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

C11 ExtensionRule

(Rule)

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

C12 FinancialInstrumentIdentificationGuideline

(Guideline)

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

C13 FundIdentification1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00348
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C14 FundIdentification2Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C15 FundIdentification3Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350

- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C16 FundOrSubFundAndShareClassGuideline

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

This constraint is defined at the MessageDefinition level.

C17 PreviousTradeDateRule

(Rule)

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

On Condition

/FundCashForecastDetails[*] is present

Following Must be True

/FundOrSubFundDetails[*]/PreviousTradeDateTime Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00352
- *Error Text:* PreviousDateTime must not be present.

This constraint is defined at the MessageDefinition level.

C18 TradeDate1Rule

(Rule)

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

On Condition

/FundCashForecastDetails[*] is present

Following Must be True

/FundOrSubFundDetails[*]/TradeDateTime Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00353
- *Error Text:* TradeDateTime must not be present.

This constraint is defined at the MessageDefinition level.

C19 TradeDate2Rule

(Rule)

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

On Condition

/FundCashForecastDetails[*] is absent

Following Must be True

/FundOrSubFundDetails[*]/TradeDateTime Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00354
- *Error Text:* TradeDateTime must be present.

This constraint is defined at the MessageDefinition level.

9.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

9.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Identifies the message.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

9.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference3 on page 2022](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

9.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

9.4.4 RelatedReference <RltdRef>

Presence: [0..*]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

9.4.5 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

9.4.6 FundOrSubFundDetails <FndOrSubFndDtls>

Presence: [0..*]

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

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

FundOrSubFundDetails <FndOrSubFndDtls> contains the following elements (see [Fund2 on page 2156](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2158
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2158
	Identification <Id>	[0..1]			2158
	Identification <Id>	[1..1]	Text		2159
	Type <Tp>	[1..1]	±		2159
	Currency <Ccy>	[0..1]	CodeSet	C3	2159
	TradeDateTime <TradDtTm>	[0..1]	±		2159
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		2160
	TotalNAV <TtlNAV>	[0..1]	Amount	C3, C12	2160
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	2161
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2161
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		2162
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		2162
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±		2162
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±		2162
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]			2163
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		2163
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	2163
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		2164
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		2164

Constraints

• **FundIdentification1Rule**

(Rule)

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

```

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


Error handling:

- *Error severity:* Fatal
- *Error Code:* X00348
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification2Rule**

(Rule)

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

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification3Rule**

(Rule)

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

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

9.4.7 FundCashForecastDetails <FndCshFcstDtls>

Presence: [0..*]

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

Impacted by: C10 ExceptionalCashFlowIndicatorRule

FundCashForecastDetails <FndCshFcstDtls> contains the following elements (see FundCashForecast7 on page 2176 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2177
	TradeDateTime <TradDtTm>	[1..1]	±		2177
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		2178
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	2178
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	2179
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	2179
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2180
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		2180
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		2180
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	2181
	CurrencyStatus <CcySts>	[0..1]	±		2181
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		2181
	Price <Pric>	[0..1]	±		2181
	ForeignExchangeRate <FXRate>	[0..1]	±		2182
	PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>	[0..1]	Rate		2182
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±	C3	2182
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±	C4	2183
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C7	2184

Constraints

- **ExceptionalCashFlowIndicatorRule**

(Rule)

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

9.4.8 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

Presence: [0..1]

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

ConsolidatedNetCashForecast <CnsltdNetCshFcst> contains the following elements (see [NetCashForecast3](#) on page 1732 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1732
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1733
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1733

9.4.9 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C11 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

10 MX camt.042.001.04 FundDetailedEstimatedCashForecastReportV 04

10.1 MessageDefinition Functionality

Scope

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

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

Usage

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

The message structure allows for the following uses:

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

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

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

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

Outline

The FundDetailedEstimatedCashForecastReportV04 MessageDefinition is composed of 9 MessageBuildingBlocks:

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

- Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. RelatedReference
Reference to a linked message that was previously received.
- E. MessagePagination
Pagination of the message.
- F. FundOrSubFundDetails
Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.
- G. EstimatedFundCashForecastDetails
Information related to the estimated cash-in and cash-out flows for a specific trade date as a result of transactions in shares in an investment fund, for example, subscriptions, redemptions or switches. The information provided is sorted by pre-defined criteria such as country, institution, currency or user defined criteria.
- H. ConsolidatedNetCashForecast
Estimated net cash as a result of the cash-in and cash-out flows specified in the fund cash forecast details.
- I. Extension
Additional information that can not be captured in the structured fields and/or any other specific block.

10.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndDtdEstmtdCshFcstRpt>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		154
	PoolReference <PoolRef>	[0..1]	±		154
	PreviousReference <PrvsRef>	[0..*]	±		154
	RelatedReference <RltdRef>	[0..*]	±		155
	MessagePagination <MsgPgntn>	[1..1]	±		155
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..1]	±	C14, C15, C16	155
	EstimatedFundCashForecastDetails <EstmtdFndCshFcstDtls>	[1..*]	±	C11	157
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		159
	Extension <Xtnsn>	[0..*]	±	C12	159

10.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountOrOwner1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00355
- *Error Text:*

C2 AccountOrOwner2Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00356
- *Error Text:*

C3 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C6 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C7 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C8 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C9 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C10 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 ExceptionalCashFlowIndicatorRule

(Rule)

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

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

C12 ExtensionRule

(Rule)

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

C13 FinancialInstrumentIdentificationGuideline

(Guideline)

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

C14 FundIdentification1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00348
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C15 FundIdentification2Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C16 FundIdentification3Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C17 UserDefinedRule

(Rule)

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

10.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

10.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Identifies the message.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

10.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference3 on page 2022](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

10.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference3 on page 2022](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

10.4.4 RelatedReference <RltdRef>

Presence: [0..*]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

10.4.5 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

10.4.6 FundOrSubFundDetails <FndOrSubFndDtls>

Presence: [0..1]

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

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

FundOrSubFundDetails <FndOrSubFndDtls> contains the following elements (see [Fund3 on page 2207](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2209
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2209
	Identification <Id>	[0..1]			2209
	Identification <Id>	[1..1]	Text		2209
	Type <Tp>	[1..1]	±		2210
	Currency <Ccy>	[0..1]	CodeSet	C3	2210
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..1]	Amount	C3, C12	2210
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	2211
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		2212
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		2212
	EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>	[0..1]	Rate		2212

Constraints

• **FundIdentification1Rule**

(Rule)

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

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00348
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification2Rule**

(Rule)

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

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification3Rule**

(Rule)

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

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

10.4.7 **EstimatedFundCashForecastDetails** **<EstmtdFndCshFcstDtls>**

Presence: [1..*]

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

Impacted by: C11 ExceptionalCashFlowIndicatorRule

EstimatedFundCashForecastDetails <EstmtdFndCshFcstDtls> contains the following elements
 (see [EstimatedFundCashForecast5](#) on page 2165 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2167
	TradeDateTime <TradDtTm>	[1..1]	±		2167
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		2167
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	2167
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..*]	Amount	C3, C12	2168
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	2169
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		2169
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		2170
	EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>	[0..1]	Rate		2170
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	2170
	CurrencyStatus <CcySts>	[0..1]	±		2170
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		2171
	Price <Pric>	[0..1]	±		2171
	ForeignExchangeRate <FXRate>	[0..1]	±		2171
	EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClsTtlNAV>	[0..1]	Rate		2172
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		2172
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		2172
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		2173
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	2174
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]	±	C7	2175

Constraints

- **ExceptionalCashFlowIndicatorRule**

(Rule)

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

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

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

10.4.8 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

Presence: [0..1]

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

ConsolidatedNetCashForecast <CnsltdNetCshFcst> contains the following elements (see [NetCashForecast3](#) on page 1732 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1732
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1733
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1733

10.4.9 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C12 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

11 MX camt.043.001.04 FundDetailedConfirmedCashForecastReport V04

11.1 MessageDefinition Functionality

Scope

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

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

Usage

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

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

The message structure allows for the following uses:

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

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

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

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

Outline

The FundDetailedConfirmedCashForecastReportV04 MessageDefinition is composed of 9 MessageBuildingBlocks:

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

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MessagePagination

Pagination of the message.

F. FundOrSubFundDetails

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

G. FundCashForecastDetails

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

H. ConsolidatedNetCashForecast

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

I. Extension

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

11.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndDtldConfdCshFcstRpt>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		167
	PoolReference <PoolRef>	[0..1]	±		167
	PreviousReference <PrvsRef>	[0..*]	±		167
	RelatedReference <RltdRef>	[0..*]	±		168
	MessagePagination <MsgPgntn>	[1..1]	±		168
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..1]	±	C14, C15, C16	168
	FundCashForecastDetails <FndCshFcstDtls>	[1..*]		C11	170
	Identification <Id>	[1..1]	Text		172
	TradeDateTime <TradDtTm>	[1..1]	±		172
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		172
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	172
	TotalNAV <TtlNAV>	[0..*]	Amount	C4, C10	173
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C4, C10	174
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		174
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		175
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		175
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C4	175
	CurrencyStatus <CcySts>	[0..1]	±		175
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		176
	Price <Pric>	[0..1]	±		176
	ForeignExchangeRate <FXRate>	[0..1]	±		176
	PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>	[0..1]	Rate		177
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		177
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		177
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		178
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	179
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C7	180

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		181
	Extension <Xtnsn>	[0..*]	±	C12	182

11.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountOrOwner1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00355
- *Error Text:*

C2 AccountOrOwner2Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00356
- *Error Text:*

C3 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C6 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C7 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C8 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C9 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C10 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 ExceptionalCashFlowIndicatorRule

(Rule)

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

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

C12 ExtensionRule

(Rule)

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

C13 FinancialInstrumentIdentificationGuideline

(Guideline)

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

C14 FundIdentification1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00348
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C15 FundIdentification2Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C16 FundIdentification3Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C17 UserDefinedRule

(Rule)

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

11.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

11.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Identifies the message.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

11.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference3 on page 2022](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

11.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

11.4.4 RelatedReference <RltdRef>

Presence: [0..*]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

11.4.5 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

11.4.6 FundOrSubFundDetails <FndOrSubFndDtls>

Presence: [0..1]

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

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

FundOrSubFundDetails <FndOrSubFndDtIs> contains the following elements (see [Fund4](#) on page 2202 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2204
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2204
	Identification <Id>	[0..1]			2204
	Identification <Id>	[1..1]	Text		2204
	Type <Tp>	[1..1]	±		2205
	Currency <Ccy>	[0..1]	CodeSet	C3	2205
	TotalNAV <TtINAV>	[0..1]	Amount	C3, C12	2205
	PreviousTotalNAV <PrvsTtINAV>	[0..1]	Amount	C3, C12	2206
	TotalUnitsNumber <TtUnitsNb>	[0..1]	±		2207
	PreviousTotalUnitsNumber <PrvsTtUnitsNb>	[0..1]	±		2207
	PercentageOfFundTotalNAV <PctgOfFndTtINAV>	[0..1]	Rate		2207

Constraints

• **FundIdentification1Rule**

(Rule)

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

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

Error handling:

- Error severity: Fatal
- Error Code: X00348
- Error Text: Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification2Rule**

(Rule)

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

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification3Rule**

(Rule)

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

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

11.4.7 FundCashForecastDetails <FndCshFcstDtls>

Presence: [1..*]

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

Impacted by: C11 ExceptionalCashFlowIndicatorRule

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		172
	TradeDateTime <TradDtTm>	[1..1]	±		172
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		172
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	172
	TotalNAV <TtlNAV>	[0..*]	Amount	C4, C10	173
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C4, C10	174
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		174
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		175
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		175
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C4	175
	CurrencyStatus <CcySts>	[0..1]	±		175
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		176
	Price <Pric>	[0..1]	±		176
	ForeignExchangeRate <FXRate>	[0..1]	±		176
	PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>	[0..1]	Rate		177
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		177
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		177
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		178
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	179
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C7	180

Constraints

- **ExceptionalCashFlowIndicatorRule**

(Rule)

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

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

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

11.4.7.1 Identification <Id>

Presence: [1..1]

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

Datatype: [Max35Text on page 3409](#)

11.4.7.2 TradeDateTime <TradDtTm>

Presence: [1..1]

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

TradeDateTime <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

11.4.7.3 PreviousTradeDateTime <PrvsTradDtTm>

Presence: [0..1]

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

PreviousTradeDateTime <PrvsTradDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

11.4.7.4 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

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

Impacted by: [C13 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument9 on page 1903](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1903
	Name <Nm>	[0..1]	Text		1904
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1904
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C3	1904
	ClassType <ClsTp>	[0..1]	Text		1905
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1905
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1905
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1906

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

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

11.4.7.5 TotalNAV <TtINAV>

Presence: [0..*]

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

Impacted by: [C4 ActiveOrHistoricCurrency](#) __, [C10 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

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

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

11.4.7.6 PreviousTotalNAV <PrvsTtlNAV>

Presence: [0..*]

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

Impacted by: C4 ActiveOrHistoricCurrency, C10 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

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

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

11.4.7.7 TotalUnitsNumber <TtlUnitsNb>

Presence: [0..1]

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

TotalUnitsNumber <TtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

11.4.7.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

Presence: [0..1]

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

PreviousTotalUnitsNumber <PrvsTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

11.4.7.9 TotalNAVChangeRate <TtlNAVChngRate>

Presence: [0..1]

Definition: Rate of change of the net asset value.

Datatype: [PercentageRate](#) on page 3406

11.4.7.10 InvestmentCurrency <InvstmtCcy>

Presence: [0..*]

Definition: Currency of the investment fund class.

Impacted by: [C4 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyCode](#) on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

11.4.7.11 CurrencyStatus <CcySts>

Presence: [0..1]

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

CurrencyStatus <CcySts> contains the following elements (see [CurrencyDesignation1](#) on page 2381 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		2382
	Location <Lctn>	[0..1]	CodeSet	C11	2382
	AdditionalInformation <AddtlInf>	[0..1]	Text		2382

11.4.7.12 ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>

Presence: [1..1]

Definition: Indicates whether the net cash flow is exceptional.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

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

11.4.7.13 Price <Pric>

Presence: [0..1]

Definition: Price per unit of the trade date.

Price <Pric> contains the following elements (see [UnitPrice19](#) on page 2868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2868
{Or	Code <Cd>	[1..1]	CodeSet		2868
Or}	Proprietary <Prtry>	[1..1]	±		2869
	Value <Val>	[1..1]	±		2870

11.4.7.14 ForeignExchangeRate <FXRate>

Presence: [0..1]

Definition: Foreign exchange rate.

ForeignExchangeRate <FXRate> contains the following elements (see [ForeignExchangeTerms19](#) on page 1988 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1989
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1989
	ExchangeRate <XchgRate>	[1..1]	Rate		1990

11.4.7.15 PercentageOfShareClassTotalNAV <PctgOfShrClssttNAV>

Presence: [0..1]

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

Datatype: PercentageRate on page 3406

11.4.7.16 BreakdownByParty <BrkdwnByPty>

Presence: [0..*]

Definition: Cash flow by party.

BreakdownByParty <BrkdwnByPty> contains the following elements (see BreakdownByParty3 on page 2443 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]		C1, C2	2443
	AccountIdentification <AcctId>	[0..1]	±		2444
	OwnerIdentification <OwnrId>	[0..1]	±		2445
	AccountServicer <AcctSvcr>	[0..1]	±		2445
	AdditionalParameters <AddtlParams>	[0..1]	±		2445
	CashInForecast <CshInFcst>	[0..*]		C5	2446
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2446
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2446
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2447
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2447
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		2448
	AdditionalBalance <AddtlBal>	[0..1]	±		2448
	CashOutForecast <CshOutFcst>	[0..*]		C6	2449
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2449
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2449
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2450
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2450
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		2451
	AdditionalBalance <AddtlBal>	[0..1]	±		2451
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2452

11.4.7.17 BreakdownByCountry <BrkdwnByCtry>

Presence: [0..*]

Definition: Cash flow by country.

BreakdownByCountry <BrkdwnByCtry> contains the following elements (see [BreakdownByCountry2](#) on page 2435 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2435
	CashInForecast <CshInFcst>	[0..*]		C5	2436
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2437
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2437
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2437
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2438
	CashInBreakdownDetails <CshInBrkdwnDtIs>	[0..*]	±		2438
	AdditionalBalance <AddtlBal>	[0..1]	±		2438
	CashOutForecast <CshOutFcst>	[0..*]		C6	2439
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2440
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2440
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2440
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2441
	CashOutBreakdownDetails <CshOutBrkdwnDtIs>	[0..*]	±		2441
	AdditionalBalance <AddtlBal>	[0..1]	±		2441
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2442

11.4.7.18 BreakdownByCurrency <BrkdwnByCcy>

Presence: [0..*]

Definition: Cash flow by currency.

BreakdownByCurrency <BrkdwnByCcy> contains the following elements (see [BreakdownByCurrency2](#) on page 2426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C3	2427
	CashOutForecast <CshOutFcst>	[0..*]		C6	2428
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2428
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2428
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2429
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2429
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		2430
	AdditionalBalance <AddtlBal>	[0..1]	±		2430
	CashInForecast <CshInFcst>	[0..*]		C5	2431
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2432
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2432
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2432
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2433
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		2433
	AdditionalBalance <AddtlBal>	[0..1]	±		2433
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2434

11.4.7.19 BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>

Presence: [0..*]

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

Impacted by: [C17 UserDefinedRule](#)

BreakdownByUserDefinedParameter <BrkdwByUsrDfndParam> contains the following elements
 (see [BreakdownByUserDefinedParameter3](#) on page 2415 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[0..1]		C1, C2	2416
	AccountIdentification <AcctId>	[0..1]	±		2417
	OwnerIdentification <OwnrId>	[0..1]	±		2418
	AccountServicer <AcctSvcr>	[0..1]	±		2418
	Country <Ctry>	[0..1]	CodeSet	C11	2418
	Currency <Ccy>	[0..1]	CodeSet	C3	2419
	UserDefined <UsrDfnd>	[0..1]	±		2419
	CashInForecast <CshInFcst>	[0..*]		C5	2419
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2420
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2420
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2421
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2421
	CashInBreakdownDetails <CshInBrkdwDtls>	[0..*]	±		2421
	AdditionalBalance <AddtlBal>	[0..1]	±		2422
	CashOutForecast <CshOutFcst>	[0..*]		C6	2422
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2423
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2423
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2424
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2424
	CashOutBreakdownDetails <CshOutBrkdwDtls>	[0..*]	±		2424
	AdditionalBalance <AddtlBal>	[0..1]	±		2425
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2425

Constraints

- **UserDefinedRule**

(Rule)

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

11.4.7.20 NetCashForecastDetails <NetCshFcstDtls>

Presence: [0..*]

Definition: Net cash movements per financial instrument.

Impacted by: C7 AdditionalBalanceRule

NetCashForecastDetails <NetCshFcstDtIs> contains the following elements (see NetCashForecast4 on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1734
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1734
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1735
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1735
	AdditionalBalance <AddtlBal>	[0..1]	±		1736

Constraints

- **AdditionalBalanceRule**

(Rule)

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

On Condition

 /AdditionalBalance is present

Following Must be True

 /AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

11.4.8 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

Presence: [0..1]

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

ConsolidatedNetCashForecast <CnsltdNetCshFcst> contains the following elements (see [NetCashForecast3](#) on page 1732 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1732
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1733
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1733

11.4.9 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C12 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

12 MX camt.044.001.03 FundConfirmedCashForecastReportCancellationV03

12.1 MessageDefinition Functionality

Scope

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

Usage

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

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

Outline

The FundConfirmedCashForecastReportCancellationV03 MessageDefinition is composed of 6 MessageBuildingBlocks:

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

12.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndConfdCshFcstRptCxl>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		188
	PoolReference <PoolRef>	[0..1]	±		189
	PreviousReference <PrvsRef>	[0..1]	±		189
	RelatedReference <RltdRef>	[0..*]	±		189
	MessagePagination <MsgPgntn>	[1..1]	±		190
	CashForecastReportToBeCancelled <CshFcstRptToBeCanc>	[0..1]	±	C7, C16, C17, C18, C19	190

12.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C4 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C5 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C6 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008

– *Error Text:* Invalid BIC.

C7 ConsolidatedNetCashRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00351
- *Error Text:* ConsolidatedNetCashForecast must not be present.

C8 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C10 ExceptionalCashFlowIndicatorRule

(Rule)

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

C11 ExtensionRule

(Rule)

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

C12 FinancialInstrumentIdentificationGuideline

(Guideline)

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

C13 FundIdentification1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00348
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C14 FundIdentification2Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C15 FundIdentification3Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C16 FundOrSubFundAndShareClassGuideline

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C17 PreviousTradeDate1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00352
- *Error Text:* PreviousDateTime must not be present.

C18 TradeDate1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00353
- *Error Text:* TradeDateTime must not be present.

C19 TradeDate2Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00354
- *Error Text:* TradeDateTime must be present.

12.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

12.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Identifies the message.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

12.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

12.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

12.4.4 RelatedReference <RltdRef>

Presence: [0..*]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

12.4.5 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

12.4.6 CashForecastReportToBeCancelled <CshFcstRptToBeCanc>

Presence: [0..1]

Definition: The FundDetailedConfirmedCashForecastReport to be cancelled.

Impacted by: [C7 ConsolidatedNetCashRule](#), [C16 FundOrSubFundAndShareClassGuideline](#), [C17 PreviousTradeDate1Rule](#), [C18 TradeDate1Rule](#), [C19 TradeDate2Rule](#)

CashForecastReportToBeCancelled <CshFcstRptToBeCanc> contains the following elements (see [FundConfirmedCashForecastReport3](#) on page 1726 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..*]	±	C13, C14, C15	1728
	FundCashForecastDetails <FndCshFcstDtls>	[0..*]	±	C10	1730
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		1731
	Extension <Xtnsn>	[0..*]	±	C16	1732

Constraints

- **ConsolidatedNetCashRule**
(Rule)

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

On Condition

 /ConsolidatedNetCashForecast is present

Following Must be True

 /FundOrSubFundDetails[*] Must be present

Or /FundCashForecastDetails[*] Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00351
- *Error Text:* ConsolidatedNetCashForecast must not be present.

- **FundOrSubFundAndShareClassGuideline**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **PreviousTradeDate1Rule**

(Rule)

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

On Condition

 /FundCashForecastDetails[*] is present

Following Must be True

 /FundOrSubFundDetails[*]/PreviousTradeDateTime Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00352
- *Error Text:* PreviousDateTime must not be present.

- **TradeDate1Rule**

(Rule)

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

On Condition

 /FundCashForecastDetails[*] is present

Following Must be True

 /FundOrSubFundDetails[*]/TradeDateTime Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00353
- *Error Text:* TradeDateTime must not be present.

- **TradeDate2Rule**

(Rule)

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

On Condition

 /FundCashForecastDetails[*] is absent

Following Must be True

 /FundOrSubFundDetails[*]/TradeDateTime Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00354
- *Error Text:* TradeDateTime must be present.

13 MX camt.045.001.03 FundDetailedConfirmedCashForecastReport CancellationV03

13.1 MessageDefinition Functionality

Scope

A report provider, such as a transfer agent, sends the FundDetailedConfirmedCashForecastReportCancellation messages to the report user, such as an investment manager, fund accountant or any other interested party, to cancel a previously sent FundDetailedConfirmedCashForecastReport.

Usage

The FundDetailedConfirmedCashForecastReportCancellation message is used to cancel an entire FundDetailedConfirmedCashForecastReport message that was previously sent. This message must contain the reference of the message to be cancelled.

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

Outline

The FundDetailedConfirmedCashForecastReportCancellationV03 MessageDefinition is composed of 6 MessageBuildingBlocks:

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

13.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndDtldConfdCshFcstRptCxl>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		198
	PoolReference <PoolRef>	[0..1]	±		198
	PreviousReference <PrvsRef>	[0..1]	±		199
	RelatedReference <RltdRef>	[0..*]	±		199
	MessagePagination <MsgPgntn>	[1..1]	±		199
	CashForecastReportToBeCancelled <CshFcstRptToBeCanc>	[0..1]	±		199

13.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountOrOwner1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00355
- *Error Text:*

C2 AccountOrOwner2Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00356
- *Error Text:*

C3 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C6 AdditionalBalanceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C7 AdditionalBalanceRule

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders,

AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

C8 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C9 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C10 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 ExceptionalCashFlowIndicatorRule

(Rule)

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

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

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

C12 ExtensionRule

(Rule)

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

C13 FinancialInstrumentIdentificationGuideline

(Guideline)

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

C14 FundIdentification1Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00348
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C15 FundIdentification2Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C16 FundIdentification3Rule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

C17 UserDefinedRule

(Rule)

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

13.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

13.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Identifies the message.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

13.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

13.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

13.4.4 RelatedReference <RltdRef>

Presence: [0..*]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

13.4.5 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

13.4.6 CashForecastReportToBeCancelled <CshFcstRptToBeCanc>

Presence: [0..1]

Definition: The FundDetailedConfirmedCashForecastReport to be cancelled.

CashForecastReportToBeCancelled <CshFcstRptToBeCanc> contains the following elements (see FundDetailedConfirmedCashForecastReport3 on page 1711 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..1]	±	C14, C15, C16	1712
	FundCashForecastDetails <FndCshFcstDtls>	[1..*]		C11	1714
	Identification <Id>	[1..1]	Text		1716
	TradeDateTime <TradDtTm>	[1..1]	±		1716
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1716
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	1716
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	1717
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	1718
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1718
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1719
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1719
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	1719
	CurrencyStatus <CcySts>	[0..1]	±		1719
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1720
	Price <Pric>	[0..1]	±		1720
	ForeignExchangeRate <FXRate>	[0..1]	±		1720
	PercentageOfShareClassTotalNAV <PctgOfShrClsstTtlNAV>	[0..1]	Rate		1721
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		1721
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		1721
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		1722
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	1723
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C7	1724
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		1725
	Extension <Xtnsn>	[0..*]	±	C16	1726

14 MX reda.001.001.04 PriceReportV04

14.1 MessageDefinition Functionality

SCOPE

A report provider, for example, a transfer agent, fund accountant or market data provider, sends the PriceReport message to the report recipient, for example, a fund management company, transfer agent, market data provider, regulator or any other interested party to provide the net asset value and price information for financial instruments on specific trade dates and, optionally, to quote price variation information.

USAGE

The PriceReport message is sent by the report provider to the report recipient to:

- report prices for one or several different financial instruments for one or several different trade dates,
- report statistical information about the valuation of a financial instrument,
- inform another party that the quotation of a financial instrument is suspended,
- report prices that are used for other purposes than the execution of investment funds orders.

Outline

The PriceReportV04 MessageDefinition is composed of 10 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies a message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. RelatedReference
Reference to a linked message that was previously received.
- E. MessagePagination
Pagination of the message.
- F. PriceReportIdentification
Unique and unambiguous identifier for the price report, as assigned by the reporting party.
- G. Function
Function of the price report, that is, whether the price report is a new price report or a replacement of some kind.

H. CancellationIdentification

Unique and unambiguous identifier for the cancellation of the previous price report, as assigned by the reporting party.

I. PriceValuationDetails

Information related to the price valuation of a financial instrument.

J. Extension

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

14.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PricRpt>	[1..1]		C16	
	MessageIdentification <MsgId>	[1..1]	±		207
	PoolReference <PoolRef>	[0..1]	±		207
	PreviousReference <PrvsRef>	[0..*]	±		207
	RelatedReference <RltdRef>	[0..1]	±		207
	MessagePagination <MsgPgntn>	[1..1]	±		208
	PriceReportIdentification <PricRptId>	[1..1]	Text		208
	Function <Fctn>	[1..1]	CodeSet		208
	CancellationIdentification <CxllId>	[0..1]	Text		209
	PriceValuationDetails <PricValtnDtls>	[1..*]		C18	209
	Identification <Id>	[0..1]	Text		210
	ValuationDateTime <ValtnDtTm>	[0..1]	±		210
	NAVDateTime <NAVDtTm>	[1..1]	±		210
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C15	210
	FundManagementCompany <FndMgmtCpny>	[0..1]	±		211
	TotalNAV <TtINAV>	[0..*]	Amount	C3, C10	211
	TotalUnitsNumber <TtIUnitsNb>	[0..1]	±		212
	NextValuationDateTime <NxtValtnDtTm>	[0..1]	±		212
	PreviousValuationDateTime <PrvsValtnDtTm>	[0..1]	±		212
	ValuationType <ValtnTp>	[1..1]	CodeSet		213
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		213
	OfficialValuationIndicator <OffclValtnInd>	[1..1]	Indicator		214
	SuspendedIndicator <SspdInd>	[1..1]	Indicator		214
	PriceDetails <PricDtls>	[0..*]	±	C8	214
	ValuationStatistics <ValtnSttstcs>	[0..*]	±	C11, C12, C13	216
	PerformanceDetails <PrfrmncDtls>	[0..1]	±	C1	218
	Extension <Xtnsn>	[0..*]	±	C14	219

14.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccumulationPeriodRule

(Rule)

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

C2 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C3 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C4 AmountAndOrRateRule

(Rule)

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

C5 AmountAndOrRateRule

(Rule)

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

C6 AmountSignRule

(Rule)

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

C7 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C8 CalculationBasisRule

(Rule)

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

C9 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C10 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 CurrencyPredefinedPeriodsRule

(Rule)

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

C12 CurrencyPriceChangeRule

(Rule)

Currency in PriceChange/Amount must be the same as Currency.

C13 CurrencyUserDefinedPeriodsRule

(Rule)

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

C14 ExtensionRule

(Rule)

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

C15 FinancialInstrumentIdentificationGuideline

(Guideline)

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

C16 NewPriceReportRule

(Rule)

If Function is "NEWP" then CancellationIdentification must not be present. (CrossElementComplexRule)

On Condition

/Function is equal to value 'NewPriceReport'

Following Must be True

/CancellationIdentification Must be absent

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00298

– *Error Text:* CancellationIdentification is not allowed.

This constraint is defined at the MessageDefinition level.

C17 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C18 PriceDetailsRule

(Rule)

If SuspendedIndicator is "true" or "1" (Yes), then PriceDetails is optional.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails / DualFundIndicator is "false" or "0" (No), then PriceDetails must be present at least once.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails / DualFundIndicator is "true" or "1" (Yes), then PriceDetails must be present two or more times and PriceDetails/Type must be present with the values "BIDE" and "OFFR".

14.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

14.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

14.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

14.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

14.4.4 RelatedReference <RltdRef>

Presence: [0..1]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

14.4.5 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

14.4.6 PriceReportIdentification <PricRptId>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the price report, as assigned by the reporting party.

Datatype: [Max35Text](#) on page 3409

14.4.7 Function <Fctn>

Presence: [1..1]

Definition: Function of the price report, that is, whether the price report is a new price report or a replacement of some kind.

Datatype: [PriceReportFunction1Code](#) on page 3330

CodeName	Name	Definition
REPL	CompleteReplacementPriceReport	The price report conveys the correction of the complete set of prices previously sent for the same price report identification.
NEWP	NewPriceReport	The price report is 'new', that is the report is not being used as a correction of previously sent prices.
PART	PartialCorrectionPriceReport	The price report conveys the correction of some of the prices previously sent for the same price report identification.

14.4.8 CancellationIdentification <CxIId>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the cancellation of the previous price report, as assigned by the reporting party.

Datatype: [Max35Text](#) on page 3409

14.4.9 PriceValuationDetails <PricValtnDtIs>

Presence: [1..*]

Definition: Information related to the price valuation of a financial instrument.

Impacted by: [C18 PriceDetailsRule](#)

PriceValuationDetails <PricValtnDtIs> contains the following **PriceValuation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		210
	ValuationDateTime <ValtnDtTm>	[0..1]	±		210
	NAVDateTime <NAVDtTm>	[1..1]	±		210
	FinancialInstrumentDetails <FinInstrmDtIs>	[1..1]	±	C15	210
	FundManagementCompany <FndMgmtCpny>	[0..1]	±		211
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C10	211
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		212
	NextValuationDateTime <NxtValtnDtTm>	[0..1]	±		212
	PreviousValuationDateTime <PrvsValtnDtTm>	[0..1]	±		212
	ValuationType <ValtnTp>	[1..1]	CodeSet		213
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		213
	OfficialValuationIndicator <OffcValtnInd>	[1..1]	Indicator		214
	SuspendedIndicator <SspdInd>	[1..1]	Indicator		214
	PriceDetails <PricDtIs>	[0..*]	±	C8	214
	ValuationStatistics <ValtnSttstcs>	[0..*]	±	C11, C12, C13	216
	PerformanceDetails <PrfrmncDtIs>	[0..1]	±	C1	218

Constraints

- **PriceDetailsRule**

(Rule)

If **SuspendedIndicator** is "true" or "1" (Yes), then **PriceDetails** is optional.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails /DualFundIndicator is "false" or "0" (No), then PriceDetails must be present at least once.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails /DualFundIndicator is "true" or "1" (Yes), then PriceDetails must be present two or more times and PriceDetails/Type must be present with the values "BIDE" and "OFFR".

14.4.9.1 Identification <Id>

Presence: [0..1]

Definition: Unique technical identifier for an instance of a price valuation within a price report, as assigned by the issuer of the report.

Datatype: [Max35Text on page 3409](#)

14.4.9.2 ValuationDateTime <ValnDtTm>

Presence: [0..1]

Definition: Date and time of the price valuation for the investment fund/fund class.

ValuationDateTime <ValnDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

14.4.9.3 NAVDateTime <NAVDtTm>

Presence: [1..1]

Definition: Date and time at which a price is applied, according to the terms stated in the prospectus. The NAV date is also known as the trade date. The NAV date becomes the trade date in an order.

NAVDateTime <NAVDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

14.4.9.4 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class for which the net asset value is calculated.

Impacted by: [C15 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument8 on page 1890](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..10]	±		1891
	Name <Nm>	[0..1]	Text		1892
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1892
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C3	1892
	ClassType <ClsTp>	[0..1]	Text		1893
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1893
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1893
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1894

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

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

14.4.9.5 FundManagementCompany <FndMgmtCpny>

Presence: [0..1]

Definition: Issuer of the fund.

FundManagementCompany <FndMgmtCpny> contains one of the following elements (see [PartyIdentification2Choice on page 2493](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

14.4.9.6 TotalNAV <TtINAV>

Presence: [0..*]

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

Impacted by: C3 ActiveOrHistoricCurrency, C10 CurrencyAmount

Datatype: [ActiveOrHistoricCurrencyAndAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

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

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

14.4.9.7 TotalUnitsNumber <TtlUnitsNb>

Presence: [0..1]

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

TotalUnitsNumber <TtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

14.4.9.8 NextValuationDateTime <NxtValtnDtTm>

Presence: [0..1]

Definition: Date and time of the next price valuation for the investment fund/fund class.

NextValuationDateTime <NxtValtnDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

14.4.9.9 PreviousValuationDateTime <PrvsValtnDtTm>

Presence: [0..1]

Definition: Date and time of the previous price valuation for the investment fund/fund class.

PreviousValuationDateTime <PrvsValtnDtTm> contains one of the following elements (see DateAndDateChoice on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

14.4.9.10 ValuationType <ValtnTp>

Presence: [1..1]

Definition: Specifies how the valuation is done, based on the schedule stated in the prospectus.

Datatype: ValuationTiming1Code on page 3390

CodeName	Name	Definition
EXCP	Exceptional	Price valuation is done exceptionally, outside the timeframe specified in the prospectus.
USUA	Usual	Price valuation is done within the timeframe specified in the prospectus.
PATC	Particular	Price valuation that is done outside the usual timeframe, but in conformance with a case specified in the prospectus, eg, market closing day.

14.4.9.11 ValuationFrequency <ValtnFrqcy>

Presence: [0..1]

Definition: Frequency of the valuation.

Datatype: EventFrequency1Code on page 3276

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.

CodeName	Name	Definition
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

14.4.9.12 OfficialValuationIndicator <OffclValtnInd>

Presence: [1..1]

Definition: Indicates whether the valuation is an official valuation.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

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

14.4.9.13 SuspendedIndicator <SspdInd>

Presence: [1..1]

Definition: Indicates whether the valuation of the investment fund class is suspended.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

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

14.4.9.14 PriceDetails <PricDtls>

Presence: [0..*]

Definition: Amount of money for which goods or services are offered, sold, or bought.

Impacted by: [C8 CalculationBasisRule](#)

PriceDetails <PricDtls> contains the following elements (see [UnitPrice15](#) on page 2872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2874
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2876
	PriceMethod <PricMtd>	[0..1]	CodeSet		2876
	ValueInInvestmentCurrency <VallnInvstmtCcy>	[1..*]	±		2876
	ValueInAlternativeCurrency <VallnAltrntvCcy>	[0..*]	±		2876
	ForExecutionIndicator <ForExctnInd>	[1..1]	Indicator		2876
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		2877
	CalculationBasis <ClctnBsis>	[0..1]	Rate		2877
	EstimatedPriceIndicator <EstmtdPricInd>	[1..1]	Indicator		2877
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2877
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C3	2877
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]	CodeSet		2878
Or}	ExtendedTaxableIncomePerShareCalculated <XtndedTaxblIncmPerShrClctd>	[0..1]	Text		2878
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2878
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2879
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2879
	ChargeDetails <ChrgDtls>	[0..*]			2879
{Or	Type <Tp>	[1..1]	CodeSet		2880
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2880
{Or	Amount <Amt>	[1..1]	Amount	C2	2881
Or}	Rate <Rate>	[1..1]	Rate		2881
{Or	CalculationBasis <ClctnBsis>	[0..1]	CodeSet		2881
Or}	ExtendedCalculationBasis <XtndedClctnBsis>	[0..1]	Text		2882
	TaxLiabilityDetails <TaxLblyDtls>	[0..*]		C4	2882
{Or	Type <Tp>	[1..1]	CodeSet		2883
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2883
	Amount <Amt>	[0..7]	Amount	C3	2883
	Rate <Rate>	[0..1]	Rate		2884
	Country <Ctry>	[1..1]	CodeSet	C11	2884
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2884

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2885
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2885
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2885
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2886
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2886
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2886
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2886
	TaxRefundDetails <TaxRfndDtls>	[0..*]		C4	2887
{Or	Type <Tp>	[1..1]	CodeSet		2887
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2888
	Amount <Amt>	[0..7]	Amount	C3	2888
	Rate <Rate>	[0..1]	Rate		2889
	Country <Ctry>	[1..1]	CodeSet	C11	2889
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2889
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2890
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2890
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2890
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2891
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2891
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2891
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2891

Constraints

• **CalculationBasisRule**

(Rule)

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

14.4.9.15 ValuationStatistics <ValtnSttstcs>

Presence: [0..*]

Definition: Information related to the price variations of an investment fund class.

Impacted by: C11 CurrencyPredefinedPeriodsRule, C12 CurrencyPriceChangeRule, C13 CurrencyUserDefinedPeriodsRule

ValuationStatistics <ValtnSttstcs> contains the following elements (see [ValuationStatistics3 on page 2455](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C3	2457
	PriceTypeChangeBasis <PricTpChngBsis>	[1..1]		C18	2458
	Structured <Strd>	[1..1]	CodeSet		2458
	AdditionalInformation <AddtlInf>	[0..1]	Text		2459
	PriceChange <PricChng>	[1..1]		C5, C6	2459
	Amount <Amt>	[0..1]	Amount	C3	2460
	AmountSign <AmtSgn>	[0..1]	Indicator		2460
	Rate <Rate>	[0..1]	Rate		2461
	Yield <Yld>	[0..1]	Rate		2461
	ByPredefinedTimePeriods <ByPrdfndTmPrds>	[0..1]			2461
	HighestPriceValue12Months <HghstPricVal12Mnths>	[0..1]			2462
	Amount <Amt>	[1..1]	Amount	C3	2462
	LowestPriceValue12Months <LwstPricVal12Mnths>	[0..1]			2462
	Amount <Amt>	[1..1]	Amount	C3	2462
	OneYearPriceChange <OneYrPricChng>	[0..1]		C5, C6	2463
	Amount <Amt>	[0..1]	Amount	C3	2463
	AmountSign <AmtSgn>	[0..1]	Indicator		2464
	Rate <Rate>	[0..1]	Rate		2464
	ThreeYearPriceChange <ThreeYrPricChng>	[0..1]		C5, C6	2464
	Amount <Amt>	[0..1]	Amount	C3	2465
	AmountSign <AmtSgn>	[0..1]	Indicator		2465
	Rate <Rate>	[0..1]	Rate		2465
	FiveYearPriceChange <FiveYrPricChng>	[0..1]		C5, C6	2465
	Amount <Amt>	[0..1]	Amount	C3	2466
	AmountSign <AmtSgn>	[0..1]	Indicator		2466
	Rate <Rate>	[0..1]	Rate		2467
	ByUserDefinedTimePeriod <ByUsrDfndTmPrd>	[0..*]			2467
	Period <Prd>	[1..1]	±		2467
	HighestPriceValue <HghstPricVal>	[0..1]			2467
	Amount <Amt>	[1..1]	Amount	C3	2468

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LowestPriceValue <LwstPricVal>	[0..1]			2468
	Amount <Amt>	[1..1]	Amount	C3	2468
	PriceChange <PricChng>	[0..1]		C5, C6	2469
	Amount <Amt>	[0..1]	Amount	C3	2469
	AmountSign <AmtSgn>	[0..1]	Indicator		2470
	Rate <Rate>	[0..1]	Rate		2470
	Yield <Yld>	[0..1]	Rate		2470

Constraints

- **CurrencyPredefinedPeriodsRule**

(Rule)

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

- **CurrencyPriceChangeRule**

(Rule)

Currency in PriceChange/Amount must be the same as Currency.

- **CurrencyUserDefinedPeriodsRule**

(Rule)

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

14.4.9.16 PerformanceDetails <PrfrmncDtls>

Presence: [0..1]

Definition: Factors that give indications about the performance of a fund.

Impacted by: C1 AccumulationPeriodRule

PerformanceDetails <PrfrmncDtls> contains the following elements (see PerformanceFactors1 on page 2382 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionFactor <CorpActnFctr>	[0..1]	Quantity		2383
	CumulativeCorporateActionFactor <CmltvCorpActnFctr>	[0..1]	Quantity		2383
	AccumulationPeriod <AcmltnPrd>	[0..1]	±		2383
	NormalPerformance <NrmIPrfmnc>	[0..1]	Quantity		2383

Constraints

- **AccumulationPeriodRule**

(Rule)

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

14.4.10 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C14 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

15 MX reda.002.001.04 PriceReportCancellationV04

15.1 MessageDefinition Functionality

SCOPE

A report provider, for example, a transfer agent, fund accountant or market data provider, sends the PriceReportCancellation message to the report recipient, for example, a fund management company, transfer agent, market data provider, regulator or any other interested party to cancel previously sent prices.

USAGE

The PriceReportCancellation message is used to either:

- cancel an entire PriceReport that was previously sent (by quoting the business reference of the original price report in the PriceReportIdentification element), or,
- cancel one or more individual prices from a previously sent price report (by using the PriceDetailsToBeCancelled sequence).

Technically, it is possible to cancel all the prices individually by using the PriceDetailsToBeCancelled sequence, but this is not recommended.

The cancellation should not contain the cancellation of prices for more than one NAV date.

Outline

The PriceReportCancellationV04 MessageDefinition is composed of 11 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies a message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. MessagePagination
Pagination of the message.
- E. PriceReportIdentification
Unique and unambiguous identifier for the price report, as assigned by the reporting party.
- F. CancellationIdentification
Unique and unambiguous identifier for the cancellation of the previous price report, as assigned by the reporting party.
- G. CancellationReason

Reason for the cancellation.

H. ExpectedPriceCorrectionDate

Date or date and time the price will be corrected.

I. CompletePriceCancellation

Indicates whether or not all the prices of the referenced price report are cancelled.

J. CancelledPriceValuationDetails

Details of prices to be cancelled.

K. Extension

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

15.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PricRptCxl>	[1..1]		C9, C10	
	MessageIdentification <MsgId>	[1..1]	±		225
	PoolReference <PoolRef>	[0..1]	±		225
	PreviousReference <PrvsRef>	[0..1]	±		225
	MessagePagination <MsgPgntn>	[1..1]	±		226
	PriceReportIdentification <PricRptId>	[1..1]	Text		226
	CancellationIdentification <CxId>	[1..1]	Text		226
	CancellationReason <CxIRsn>	[0..1]	Text		226
	ExpectedPriceCorrectionDate <XpctdPricCrrctnDt>	[0..1]	±		226
	CompletePriceCancellation <CmpltPricCxl>	[1..1]	Indicator		226
	CancelledPriceValuationDetails <CancPricValtnDtls>	[0..*]	±		227
	Extension <Xtnsn>	[0..*]	±	C16	227

15.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccumulationPeriodRule

(Rule)

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

C2 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C3 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C4 AmountAndOrRateRule

(Rule)

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

C5 AmountAndOrRateRule

(Rule)

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

C6 AmountSignRule

(Rule)

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

C7 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C8 CalculationBasisRule

(Rule)

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

C9 CompletePriceCancellation1Rule

(Rule)

If CompletePriceCancellation is "false" or "0" (No), then one or more instances of CancelledPriceValuationDetails must be present. (CrossElementComplexRule)

```
On Condition
  /CompletePriceCancellation is equal to value 'False'
Following Must be True
  /CancelledPriceValuationDetails[*] Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00299
- *Error Text:* One or more instances of CancelledPriceValuationDetails must be present.

This constraint is defined at the MessageDefinition level.

C10 CompletePriceCancellation2Rule

(Rule)

If CompletePriceCancellation is "true" or "1" (Yes), then CancelledPriceValuationDetails must not be present. (CrossElementComplexRule)

```
On Condition
  /CompletePriceCancellation is equal to value 'True'
Following Must be True
  /CancelledPriceValuationDetails[*] Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00300
- *Error Text:* CancelledPriceValuationDetails is not allowed.

This constraint is defined at the MessageDefinition level.

C11 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C12 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C13 CurrencyPredefinedPeriodsRule

(Rule)

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

C14 CurrencyPriceChangeRule

(Rule)

Currency in PriceChange/Amount must be the same as Currency.

C15 CurrencyUserDefinedPeriodsRule

(Rule)

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

C16 ExtensionRule

(Rule)

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

C17 FinancialInstrumentIdentificationGuideline

(Guideline)

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

C18 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C19 PriceDetailsRule

(Rule)

If SuspendedIndicator is "true" or "1" (Yes), then PriceDetails is optional.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails / DualFundIndicator is "false" or "0" (No), then PriceDetails must be present at least once.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails / DualFundIndicator is "true" or "1" (Yes), then PriceDetails must be present two or more times and PriceDetails/Type must be present with the values "BIDE" and "OFFR".

15.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

15.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

15.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference3 on page 2022](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

15.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference3 on page 2022](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

15.4.4 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination on page 2472](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

15.4.5 PriceReportIdentification <PricRptId>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the price report, as assigned by the reporting party.

Datatype: [Max35Text on page 3409](#)

15.4.6 CancellationIdentification <CxIId>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the cancellation of the previous price report, as assigned by the reporting party.

Datatype: [Max35Text on page 3409](#)

15.4.7 CancellationReason <CxIRsn>

Presence: [0..1]

Definition: Reason for the cancellation.

Datatype: [Max350Text on page 3409](#)

15.4.8 ExpectedPriceCorrectionDate <XpctdPricCrrctnDt>

Presence: [0..1]

Definition: Date or date and time the price will be corrected.

ExpectedPriceCorrectionDate <XpctdPricCrrctnDt> contains one of the following elements (see [DateAndDateTime1Choice on page 1825](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1825
Or}	DateTime <DtTm>	[1..1]	DateTime		1825

15.4.9 CompletePriceCancellation <CmpltPricCxl>

Presence: [1..1]

Definition: Indicates whether or not all the prices of the referenced price report are cancelled.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

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

15.4.10 CancelledPriceValuationDetails <CancPricValtnDtls>

Presence: [0..*]

Definition: Details of prices to be cancelled.

CancelledPriceValuationDetails <CancPricValtnDtls> contains the following elements (see [PriceReport3](#) on page 2843 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceValuationDetails <PricValtnDtls>	[1..*]		C19	2844
	Identification <Id>	[0..1]	Text		2845
	ValuationDateTime <ValtnDtTm>	[0..1]	±		2846
	NAVDateTime <NAVDTm>	[1..1]	±		2846
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2846
	FundManagementCompany <FndMgmtCpny>	[0..1]	±		2847
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	2847
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2848
	NextValuationDateTime <NxtValtnDtTm>	[0..1]	±		2848
	PreviousValuationDateTime <PrvsValtnDtTm>	[0..1]	±		2848
	ValuationType <ValtnTp>	[1..1]	CodeSet		2848
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2849
	OfficialValuationIndicator <OfcIValtnInd>	[1..1]	Indicator		2849
	SuspendedIndicator <SspdInd>	[1..1]	Indicator		2850
	PriceDetails <PricDtls>	[0..*]	±	C8	2850
	ValuationStatistics <ValtnSttstcs>	[0..*]	±	C13, C14, C15	2852
	PerformanceDetails <PrfrmncDtls>	[0..1]	±	C1	2854

15.4.11 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: C16 ExtensionRule

Extension <Xtnsn> contains the following elements (see Extension1 on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

16 MX reda.004.001.06 FundReferenceDataReportV06

16.1 MessageDefinition Functionality

Scope

The FundReferenceDataReport message is sent by a report provider, for example, a fund promoter, fund management company, transfer agent, or market data provider to the report recipient, for example, a professional investor, investment fund distributor, market data provider, regulator or other interested party, to provide the key reference data for financial instruments to facilitate trading. The message may also include reporting data concerning product governance, such as target market data, and a breakdown of the costs and fees.

Usage

A FundReferenceDataReport message should be prepared for each class of unit/share (for which an individual ISIN should have been allocated), in respect of its "home" market. Each time the fund data changes, the 'product provider' must provide the data to a product user, for example, the distributors, by sending a new funds reference data report. A single message may contain more than one report. When the FundReferenceDataReport message is sent to provide updated reference data, the message overwrites the previously sent data.

The FundReferenceDataReport message may be used in various models or environments:

- in a standalone environment, for example, initiated by the Report Provider (fund promoter, fund manager and / or reference data vendors) sent on a regular frequency, or when changes are needed.
- in a request / response environment, with the InvestmentFundReportRequest, for example, initiated by report users (data vendors, professional investors, regulators or investment fund distributors) in enabling the user to control the flow and updates of information.
- in a reference data vendor environment, for example, market infrastructure and reference data providers may collate and store all fund reference data information centrally for access via database or regular distribution information. A reference data vendor may assume the role of both report provider and report user.

The FundReferenceDataReport message may be used to provide data concerning product governance, such as target market data, and a breakdown of the costs and fees in the context of MiFID II, with respect to the European MiFID Template (EMT) version 3 and 3.1. Versions 3 and 3.1 will coexist until version 4 is available.

Outline

The FundReferenceDataReportV06 MessageDefinition is composed of 5 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PreviousReference
Reference to a linked message that was previously sent.
- C. RelatedReference

Reference to a linked message that was previously received.

D. FundReferenceDataReportIdentification

Unique and unambiguous identifier for the fund reference data report, as assigned by the issuer of the report.

E. Report

Fund reference data.

16.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndRefDataRpt>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		243
	PreviousReference <PrvsRef>	[0..*]	±		243
	RelatedReference <RltdRef>	[0..1]	±		243
	FundReferenceDataReportIdentification <FndRefDataRptId>	[0..1]	Text		243
	Report <Rpt>	[1..*]		C3, C4	244
	Identification <Id>	[0..1]	Text		250
	Version <Vrsn>	[0..1]	±		250
	AuthorisedProxy <AuthrsdPrxy>	[0..1]	±		250
	GeneralReferenceDate <GnlRefDt>	[1..1]	Date		251
	TargetMarketIndicator <TrgtMktInd>	[0..1]	Indicator		251
	ExAnteIndicator <ExAnteInd>	[0..1]	Indicator		251
	ExPostIndicator <ExPstInd>	[0..1]	Indicator		251
	SecurityIdentification <SctyId>	[1..1]			252
	Identification <Id>	[1..1]		C11, C12, C20, C21, C26	254
	OtherIdentification <OthrlId>	[0..*]			255
	Identification <Id>	[1..1]	Text		256
	Suffix <Sfx>	[0..1]	Text		256
	Type <Tp>	[1..1]	±		256
	Description <Desc>	[0..1]	Text		256
	ISIN <ISIN>	[0..1]	IdentifierSet		256
	Name <Nm>	[1..1]	Text		256
	ShortName <ShrtNm>	[0..1]	Text		256
	ClassType <ClsstP>	[0..1]	Text		257
	UmbrellaName <UmbrellNm>	[0..1]	Text		257
	NewUmbrella <NewUmbrell>	[0..1]	Indicator		257
	ClassificationType <ClssfctnTp>	[0..1]	±		257
	BaseCurrency <BaseCcy>	[0..1]	CodeSet	C1	257

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	CountryOfDomicile <CtryOfDmcl>	[0..1]	CodeSet	C5	258
	RegisteredDistributionCountry <RegdDstrbtnCtry>	[0..*]	CodeSet	C5	258
	ProductType <PdctTp>	[0..1]			259
{Or	Code <Cd>	[1..1]	CodeSet		259
Or}	Proprietary <Prtry>	[1..1]	±		259
	Issuer <Issr>	[0..1]	±		260
	IssuerProductGovernanceProcess <IssrPdctGovncProc>	[0..1]	±		260
	ProductCategory <PdctCtgy>	[0..1]	Text		260
	ProductCategoryGermany <PdctCtgyDE>	[0..1]	Text		261
	NotionalOrUnitBased <NtnlOrUnitBased>	[0..1]			261
{Or	Code <Cd>	[1..1]	CodeSet		261
Or}	Proprietary <Prtry>	[1..1]	±		261
	QuotationType <QtnTp>	[0..1]	±		262
	LeveragedOrContingentLiability <LvrgdOrCntgntLbilty>	[0..1]	Indicator		262
	NoRetractionIndicator <NoRtrcssnInd>	[0..1]	Indicator		262
	ExPostCostCalculationBasis <ExpstCostClctnBsis>	[0..1]			263
{Or	Code <Cd>	[1..1]	CodeSet		263
Or}	Proprietary <Prtry>	[1..1]	±		263
	AdditionalInformation <AddtlInf>	[0..*]	±		263
	FundParties <FndPties>	[0..1]	±		264
	MainFundOrderDesk <MainFndOrdrDsk>	[0..1]	±		264
	FundManagementCompany <FndMgmtCpny>	[0..1]	±		264
	FundDetails <FndDtls>	[0..1]	±		265
	ValuationDealingCharacteristics <ValtnDealgChrtcs>	[0..1]	±		267
	InvestmentRestrictions <InvstmtRstrctns>	[0..1]	±		267
	SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>	[0..1]	±	C7	268
	RedemptionProcessingCharacteristics <RedPrcgChrtcs>	[0..1]	±	C8	270
	SwitchProcessingCharacteristics <SwchPrcgChrtcs>	[0..1]	±	C9	272
	PlanCharacteristics <PlanChrtcs>	[0..*]	±	C19	273
	PaymentInstrument <PmtInstrm>	[0..*]	±		274
	CashSettlementDetails <CshSttlmDtls>	[0..*]			274

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[0..1]	CodeSet	C1	275
	PrimaryAccount <PmryAcct>	[0..1]			275
	AccountIdentification <AcctId>	[1..1]			276
	Identification <Id>	[1..1]	±		276
	Name <Nm>	[0..1]	Text		276
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	276
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		277
	SecondaryAccount <ScndryAcct>	[0..1]			277
	AccountIdentification <AcctId>	[1..1]			277
	Identification <Id>	[1..1]	±		278
	Name <Nm>	[0..1]	Text		278
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	278
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		279
	LocalMarketAnnex <LclMktAnx>	[0..*]			279
	Country <Ctry>	[1..*]	CodeSet	C5	280
	LocalOrderDesk <LclOrdrDsk>	[1..1]	±		280
	SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>	[0..1]	±	C7	280
	RedemptionProcessingCharacteristics <RedPrcgChrtcs>	[0..1]	±	C10	282
	SwitchProcessingCharacteristics <SwchPrcgChrtcs>	[0..1]	±	C9	284
	CashSettlementDetails <CshSttlmDtls>	[0..*]			285
	Currency <Ccy>	[0..1]	CodeSet	C1	285
	PrimaryAccount <PmryAcct>	[0..1]			286
	AccountIdentification <AcctId>	[1..1]			286
	Identification <Id>	[1..1]	±		286
	Name <Nm>	[0..1]	Text		287
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	287
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		287
	SecondaryAccount <ScndryAcct>	[0..1]			287
	AccountIdentification <AcctId>	[1..1]			288
	Identification <Id>	[1..1]	±		288
	Name <Nm>	[0..1]	Text		288

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	288
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		289
	AdditionalInformation <AddtlInf>	[0..*]	±		289
	TargetMarket <TrgtMkt>	[0..1]			289
	ReferenceDate <RefDt>	[0..1]	Date		291
	InvestorType <InvstrTp>	[0..1]			291
	InvestorTypeRetail <InvstrTpRtl>	[0..1]	CodeSet		291
	InvestorTypeProfessional <InvstrTpPrfssnl>	[0..1]	±		292
	InvestorTypeEligibleCounterparty <InvstrTpElgblCtrPty>	[0..1]	CodeSet		292
	Other <Othr>	[0..*]	±		292
	KnowledgeAndOrExperience <KnwldgAndOrExprnc>	[0..1]			293
	BasicInvestor <BsicInvstr>	[0..1]	CodeSet		293
	InformedInvestor <InfrmdInvstr>	[0..1]	CodeSet		293
	AdvancedInvestor <AdvncdInvstr>	[0..1]	CodeSet		294
	ExpertInvestorGermany <ExprtInvstrDE>	[0..1]	CodeSet		294
	Other <Othr>	[0..*]	±		294
	AbilityToBearLosses <AbltyToBearLosses>	[0..1]			295
	NoCapitalLoss <NoCptlLoss>	[0..1]	CodeSet		295
	LimitedCapitalLoss <LtdCptlLoss>	[0..1]	CodeSet		295
	LimitedCapitalLossLevel <LtdCptlLossLvl>	[0..1]	Rate		296
	NoCapitalGuarantee <NoCptlGrnt>	[0..1]	CodeSet		296
	LossBeyondCapital <LossByndCptl>	[0..1]	CodeSet		296
	Other <Othr>	[0..*]	±		296
	RiskTolerance <RskTlrnce>	[0..1]			297
	RiskTolerancePRIIPSMethodology <RskTlrncePRIIPSMthdly>	[0..1]	Quantity		297
	RiskToleranceUCITSMethodology <RskTlrnceUCITSMthdly>	[0..1]	Quantity		297
	RiskToleranceInternal <RskTlrnceIntl>	[0..1]	CodeSet		297
	RiskToleranceForNonPRIIPSAAndNonUCITSSpain <RskTlrnceForNonPRIIPSAAndNonUCITSES>	[0..1]	Quantity		298
	NotForInvestorsWithTheLowestRiskToleranceGermany <NotForInvstrsWthTheLwstRskTlrnceDE>	[0..1]	CodeSet		298
	Other <Othr>	[0..*]	±		298

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	ClientObjectivesAndNeeds <CIntObjctvsAndNeeds>	[0..1]			298
	ReturnProfilePreservation <RtrPrflPrsrvtm>	[0..1]	CodeSet		299
	ReturnProfileGrowth <RtrPrflGrwth>	[0..1]	CodeSet		299
	ReturnProfileIncome <RtrPrflIncm>	[0..1]	CodeSet		300
	ReturnProfileHedging <RtrPrflHdgg>	[0..1]	CodeSet		300
	OptionOrLeveragedReturnProfile <OptnOrLvrgdRtrPrfl>	[0..1]	CodeSet		300
	ReturnProfilePensionSchemeGermany <RtrPrflPnsnSchmeDE>	[0..1]	CodeSet		300
	MinimumHoldingPeriod <MinHldgPrd>	[0..1]	±		301
	ESGPreferences <ESGPrefs>	[0..1]	CodeSet		301
	SustainabilityPreferences <SstnbiltyPrefs>	[0..1]	CodeSet		301
	OtherSpecificInvestmentNeed <OthrSpfcclnvstmtNeed>	[0..1]	±		302
	Other <Othr>	[0..*]	±		302
	Other <Othr>	[0..*]	±		302
	DistributionStrategy <DstrbtnStrtgy>	[0..1]	±		302
	CostsAndCharges <CostsAndChrgs>	[0..2]	±	C15, C18	303
	AdditionalProductInformationGermanMarket <AddtlPdctInfGrmnMkt>	[0..1]			304
	ESGCategoryGermanFundMarket <ESGctgyGrmnFndMkt>	[0..1]	CodeSet		304
	ESGCategoryGermanStructuredSecuritiesMarket <ESGctgyGrmnStrdScitiesMkt>	[0..1]	CodeSet		305
	ESGFocus <ESGFcs>	[0..1]	CodeSet		305
	ESGLabelOrStandard <ESGLablOrStd>	[0..*]	CodeSet		306
	AdditionalProductInformationFrenchMarket <AddtlPdctInfFrchMkt>	[0..1]			306
	AMFDoctrine <AMFDctrn>	[0..1]	CodeSet		307
	Extension <Xtnsn>	[0..*]	±	C16	307

16.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

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

the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C3 CostsAndCharges1Guideline

(Rule)

One repetition of CostsAndCharges may be present for the specification of Ex Ante costs and charges.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C4 CostsAndCharges2Guideline

(Rule)

One repetition of CostsAndCharges may be present for the specification of Ex Post costs and charges

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C5 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C6 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C7 DealingCutOffTimeFrameRule

(Rule)

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/
OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or
DealingCutOffTimeFrame/TradeMinus must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00156
- *Error Text:* At least one element must be present.

C8 DealingCutOffTimeFrameRule

(Rule)

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/
OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or
DealingCutOffTimeFrame/TradeMinus must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00156
- *Error Text:* At least one element must be present.

C9 DealingCutOffTimeFrameRule

(Rule)

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/
OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or
DealingCutOffTimeFrame/TradeMinus must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00156
- *Error Text:* At least one element must be present.

C10 DealingCutOffTimeFrameRule

(Rule)

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/
OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or
DealingCutOffTimeFrame/TradeMinus must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00156
- *Error Text:* At least one element must be present.

C11 DescriptionPresenceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00192
- *Error Text:* At least one identification must be present.

C12 DescriptionUsageRule

(Rule)

Description must be used alone as the last resort.

C13 ExAnteOrExPost1Guideline

(Rule)

If ExAnteOrExPost contains ANTE then CostType must be an ex ante cost or charge.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C14 ExAnteOrExPost2Guideline

(Rule)

If ExAnteOrExPost contains POST then CostType must be an ex post cost or charge.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C15 ExAnteReferenceDateGuideline

(Rule)

The ex-ante reference date should not be confused with the reporting date as specified in the European MiFID Template (EMT) reference 00050.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C16 ExtensionRule

(Rule)

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

C17 IBAN

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C18 IndividualCostAndCharge1Guideline

(Rule)

If ExAnteReferenceDate is present, then all repetitions of IndividualCostOrCharge must specify Ex Ante costs

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C19 InvestmentPlanRule

(Rule)

If PlanType/Code is not INVP the AdditionalSubscription and AdditionalSubscriptionFunction must not be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C20 ISINGuideline

(Rule)

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

C21 ISINPresenceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00194
- *Error Text:* At least one identification must be present.

C22 NonWorkingDayAdjustmentRule

(Rule)

If NonWorkingDayAdjustment is present then TradeMinus must also be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradeMinus element must be present

C23 NonWorkingDayAdjustmentRule

(Rule)

If NonWorkingDayAdjustment is present then TradePlus must also be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradeMinus element must be present

C24 NonWorkingDayAdjustmentRule

(Rule)

If NonWorkingDayAdjustment is present then TradePlus must also be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradePlus element must be present

C25 NonWorkingDayAdjustmentRule

(Rule)

If NonWorkingDayAdjustment is present then TradeMinus must also be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradeMinus element must be present

C26 OtherIdentificationPresenceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00193
- *Error Text:* At least one identification must be present.

C27 SignAmount1Rule

(Rule)

If Amount is not present, then Sign is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00496
- *Error Text:* Sign is not allowed.

C28 SignAmount2Rule

(Rule)

Sign must only be used to express a negative value for Amount.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C29 TradeMinusRule

(Rule)

If TradeMinus is present then NonWorkingDayAdjustment must also be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00154
- *Error Text:* NonWorkingDayAdjustment element must be present

C30 TradePlusRule

(Rule)

If TradePlus is present then NonWorkingDayAdjustment must also be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00419
- *Error Text:* NonWorkingDayAdjustment element must be present

C31 TradePlusRule

(Rule)

If TradePlus is present then NonWorkingDayAdjustment must also be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00419
- *Error Text:* NonWorkingDayAdjustment element must be present

C32 TradePlusRule

(Rule)

If TradePlus is present then NonWorkingDayAdjustment must also be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00419
- *Error Text:* NonWorkingDayAdjustment element must be present

16.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

16.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

16.4.2 PreviousReference <PrvsRef>

Presence: [0..*]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

16.4.3 RelatedReference <RltdRef>

Presence: [0..1]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

16.4.4 FundReferenceDataReportIdentification <FndRefDataRptId>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the fund reference data report, as assigned by the issuer of the report.

Datatype: [Max35Text](#) on page 3409

16.4.5 Report <Rpt>

Presence: [1..*]

Definition: Fund reference data.

Impacted by: C3 CostsAndCharges1Guideline, C4 CostsAndCharges2Guideline

Report <Rpt> contains the following FundReferenceDataReport4 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		250
	Version <Vrsn>	[0..1]	±		250
	AuthorisedProxy <AuthrsdPrxy>	[0..1]	±		250
	GeneralReferenceDate <GnlRefDt>	[1..1]	Date		251
	TargetMarketIndicator <TrgtMktInd>	[0..1]	Indicator		251
	ExAntelIndicator <ExAntelInd>	[0..1]	Indicator		251
	ExPostIndicator <ExPstInd>	[0..1]	Indicator		251
	SecurityIdentification <SctyId>	[1..1]			252
	Identification <Id>	[1..1]		C11, C12, C20, C21, C26	254
	OtherIdentification <OthrlId>	[0..*]			255
	Identification <Id>	[1..1]	Text		256
	Suffix <Sfx>	[0..1]	Text		256
	Type <Tp>	[1..1]	±		256
	Description <Desc>	[0..1]	Text		256
	ISIN <ISIN>	[0..1]	IdentifierSet		256
	Name <Nm>	[1..1]	Text		256
	ShortName <ShrtNm>	[0..1]	Text		256
	ClassType <ClssTp>	[0..1]	Text		257
	UmbrellaName <UmbrllNm>	[0..1]	Text		257
	NewUmbrella <NewUmbrll>	[0..1]	Indicator		257
	ClassificationType <ClssfctnTp>	[0..1]	±		257
	BaseCurrency <BaseCcy>	[0..1]	CodeSet	C1	257
	CountryOfDomicile <CtryOfDmcl>	[0..1]	CodeSet	C5	258
	RegisteredDistributionCountry <RegdDstrbtnCtry>	[0..*]	CodeSet	C5	258
	ProductType <PdctTp>	[0..1]			259
{Or	Code <Cd>	[1..1]	CodeSet		259
Or}	Proprietary <Prtry>	[1..1]	±		259
	Issuer <Issr>	[0..1]	±		260

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IssuerProductGovernanceProcess <IssrPdctGovncPrc>	[0..1]	±		260
	ProductCategory <PdctCtgy>	[0..1]	Text		260
	ProductCategoryGermany <PdctCtgyDE>	[0..1]	Text		261
	NotionalOrUnitBased <NtnlOrUnitBased>	[0..1]			261
{Or	Code <Cd>	[1..1]	CodeSet		261
Or}	Proprietary <Prtry>	[1..1]	±		261
	QuotationType <QtnTp>	[0..1]	±		262
	LeveragedOrContigentLiability <LvrgdOrCntgntLbly>	[0..1]	Indicator		262
	NoRetrocessionIndicator <NoRtrcssnInd>	[0..1]	Indicator		262
	ExPostCostCalculationBasis <ExpstCostClctnBsis>	[0..1]			263
{Or	Code <Cd>	[1..1]	CodeSet		263
Or}	Proprietary <Prtry>	[1..1]	±		263
	AdditionalInformation <AddtlInf>	[0..*]	±		263
	FundParties <FndPties>	[0..1]	±		264
	MainFundOrderDesk <MainFndOrdrDsk>	[0..1]	±		264
	FundManagementCompany <FndMgmtCpny>	[0..1]	±		264
	FundDetails <FndDtls>	[0..1]	±		265
	ValuationDealingCharacteristics <ValtnDealgChrtcs>	[0..1]	±		267
	InvestmentRestrictions <InvstmtRstrctns>	[0..1]	±		267
	SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>	[0..1]	±	C7	268
	RedemptionProcessingCharacteristics <RedPrcgChrtcs>	[0..1]	±	C8	270
	SwitchProcessingCharacteristics <SwtchPrcgChrtcs>	[0..1]	±	C9	272
	PlanCharacteristics <PlanChrtcs>	[0..*]	±	C19	273
	PaymentInstrument <PmtInstrm>	[0..*]	±		274
	CashSettlementDetails <CshSttlmDtls>	[0..*]			274
	Currency <Ccy>	[0..1]	CodeSet	C1	275
	PrimaryAccount <PmryAcct>	[0..1]			275
	AccountIdentification <AcctId>	[1..1]			276
	Identification <Id>	[1..1]	±		276
	Name <Nm>	[0..1]	Text		276

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	276
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		277
	SecondaryAccount <ScndryAcct>	[0..1]			277
	AccountIdentification <AcctId>	[1..1]			277
	Identification <Id>	[1..1]	±		278
	Name <Nm>	[0..1]	Text		278
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	278
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		279
	LocalMarketAnnex <LclMktAnx>	[0..*]			279
	Country <Ctry>	[1..*]	CodeSet	C5	280
	LocalOrderDesk <LclOrdrDsk>	[1..1]	±		280
	SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>	[0..1]	±	C7	280
	RedemptionProcessingCharacteristics <RedPrcgChrtcs>	[0..1]	±	C10	282
	SwitchProcessingCharacteristics <SwtchPrcgChrtcs>	[0..1]	±	C9	284
	CashSettlementDetails <CshSttlmDtls>	[0..*]			285
	Currency <Ccy>	[0..1]	CodeSet	C1	285
	PrimaryAccount <PmryAcct>	[0..1]			286
	AccountIdentification <AcctId>	[1..1]			286
	Identification <Id>	[1..1]	±		286
	Name <Nm>	[0..1]	Text		287
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	287
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		287
	SecondaryAccount <ScndryAcct>	[0..1]			287
	AccountIdentification <AcctId>	[1..1]			288
	Identification <Id>	[1..1]	±		288
	Name <Nm>	[0..1]	Text		288
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	288
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		289
	AdditionalInformation <AddtlInf>	[0..*]	±		289
	TargetMarket <TrgtMkt>	[0..1]			289
	ReferenceDate <RefDt>	[0..1]	Date		291

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorType <InvstrTp>	[0..1]			291
	InvestorTypeRetail <InvstrTpRtl>	[0..1]	CodeSet		291
	InvestorTypeProfessional <InvstrTpPrfssnl>	[0..1]	±		292
	InvestorTypeEligibleCounterparty <InvstrTpElgblCtrPty>	[0..1]	CodeSet		292
	Other <Othr>	[0..*]	±		292
	KnowledgeAndOrExperience <KnwldgAndOrExprnc>	[0..1]			293
	BasicInvestor <BsicInvstr>	[0..1]	CodeSet		293
	InformedInvestor <InfrmdInvstr>	[0..1]	CodeSet		293
	AdvancedInvestor <AdvncdInvstr>	[0..1]	CodeSet		294
	ExpertInvestorGermany <ExprtInvstrDE>	[0..1]	CodeSet		294
	Other <Othr>	[0..*]	±		294
	AbilityToBearLosses <AblyToBearLosses>	[0..1]			295
	NoCapitalLoss <NoCptlLoss>	[0..1]	CodeSet		295
	LimitedCapitalLoss <LtdCptlLoss>	[0..1]	CodeSet		295
	LimitedCapitalLossLevel <LtdCptlLossLvl>	[0..1]	Rate		296
	NoCapitalGuarantee <NoCptlGrnt>	[0..1]	CodeSet		296
	LossBeyondCapital <LossByndCptl>	[0..1]	CodeSet		296
	Other <Othr>	[0..*]	±		296
	RiskTolerance <RskTlrnce>	[0..1]			297
	RiskTolerancePRIIPSMethodology <RskTlrncePRIIPSMthdly>	[0..1]	Quantity		297
	RiskToleranceUCITSMethodology <RskTlrnceUCITSMthdly>	[0..1]	Quantity		297
	RiskToleranceInternal <RskTlrnceIntl>	[0..1]	CodeSet		297
	RiskToleranceForNonPRIIPSAAndNonUCITSSpain <RskTlrnceForNonPRIIPSAAndNonUCITSES>	[0..1]	Quantity		298
	NotForInvestorsWithTheLowestRiskToleranceGermany <NotForInvstrsWthTheLwstRskTlrnceDE>	[0..1]	CodeSet		298
	Other <Othr>	[0..*]	±		298
	ClientObjectivesAndNeeds <ClntObjctvsAndNeeds>	[0..1]			298
	ReturnProfilePreservation <RtrPrflPrsvtn>	[0..1]	CodeSet		299
	ReturnProfileGrowth <RtrPrflGrwth>	[0..1]	CodeSet		299
	ReturnProfileIncome <RtrPrflIncm>	[0..1]	CodeSet		300

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReturnProfileHedging <RtrPrflHdgg>	[0..1]	CodeSet		300
	OptionOrLeveragedReturnProfile <OptnOrLvrgdRtrPrfl>	[0..1]	CodeSet		300
	ReturnProfilePensionSchemeGermany <RtrPrflPnsnSchmeDE>	[0..1]	CodeSet		300
	MinimumHoldingPeriod <MinHldgPrd>	[0..1]	±		301
	ESGPreferences <ESGPrefs>	[0..1]	CodeSet		301
	SustainabilityPreferences <SstnbltyPrefs>	[0..1]	CodeSet		301
	OtherSpecificInvestmentNeed <OthrSpfcInvstmtNeed>	[0..1]	±		302
	Other <Othr>	[0..*]	±		302
	Other <Othr>	[0..*]	±		302
	DistributionStrategy <DstrbtnStrtgy>	[0..1]	±		302
	CostsAndCharges <CostsAndChrgs>	[0..2]	±	C15, C18	303
	AdditionalProductInformationGermanMarket <AddtlPdctInfGrmnMkt>	[0..1]			304
	ESGCategoryGermanFundMarket <ESGCtgyGrmnFndMkt>	[0..1]	CodeSet		304
	ESGCategoryGermanStructuredSecuritiesMarket <ESGCtgyGrmnStrdScitiesMkt>	[0..1]	CodeSet		305
	ESGFocus <ESGFcs>	[0..1]	CodeSet		305
	ESGLabelOrStandard <ESGLabIOrStd>	[0..*]	CodeSet		306
	AdditionalProductInformationFrenchMarket <AddtlPdctInfFrnchMkt>	[0..1]			306
	AMFDoctrine <AMFDctrn>	[0..1]	CodeSet		307
	Extension <Xtnsn>	[0..*]	±	C16	307

Constraints

- **CostsAndCharges1Guideline**

(Rule)

One repetition of CostsAndCharges may be present for the specification of Ex Ante costs and charges.

Error handling:

- *Error severity:* Fatal
- *Error Code:*

– *Error Text:*

• **CostsAndCharges2Guideline**

(Rule)

One repetition of CostsAndCharges may be present for the specification of Ex Post costs and charges

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

16.4.5.1 Identification <Id>

Presence: [0..1]

Definition: Unique technical identifier for an instance of a report within a fund reference data report, as assigned by the issuer of the report.

Datatype: Max35Text on page 3409

16.4.5.2 Version <Vrsn>

Presence: [0..1]

Definition: Version Number. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00001 and is the version of the template for which the EMT data is provided.

Version <Vrsn> contains the following elements (see MarketPracticeVersion1 on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

16.4.5.3 AuthorisedProxy <AuthrsdPrxy>

Presence: [0..1]

Definition: Party that reports the data on behalf of the issuer and the entry point e-mail address for contact. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) references 00002, 00003 and 00004.

AuthorisedProxy <AuthrsdPrxy> contains the following elements (see [ContactAttributes6 on page 2501](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2502
	PostalAddress <PstlAdr>	[0..1]	±		2502
	PhoneNumber <PhneNb>	[0..1]	Text		2502
	FaxNumber <FaxNb>	[0..1]	Text		2503
	EmailAddress <EmailAdr>	[0..1]	Text		2503
	URLAddress <URLAdr>	[0..1]	Text		2503
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2503
	LEI <LEI>	[0..1]	IdentifierSet		2503

16.4.5.4 GeneralReferenceDate <GnlRefDt>

Presence: [1..1]

Definition: Date to which the data refers. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00050.

Datatype: [ISODate on page 3391](#)

16.4.5.5 TargetMarketIndicator <TrgtMktInd>

Presence: [0..1]

Definition: Indicates whether target market data is included in the report. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00006.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

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

16.4.5.6 ExAnteIndicator <ExAnteInd>

Presence: [0..1]

Definition: Indicates whether ex ante costs and charges are included in the report. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00007.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

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

16.4.5.7 ExPostIndicator <ExpstInd>

Presence: [0..1]

Definition: Indicates whether ex post costs and charges are included in the report. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00008.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

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

16.4.5.8 SecurityIdentification <Sctyld>

Presence: [1..1]

Definition: Identification of the security.

SecurityIdentification <Sctyld> contains the following **SecurityIdentification41** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]		C11, C12, C20, C21, C26	254
	OtherIdentification <OthrlId>	[0..*]			255
	Identification <Id>	[1..1]	Text		256
	Suffix <Sfx>	[0..1]	Text		256
	Type <Tp>	[1..1]	±		256
	Description <Desc>	[0..1]	Text		256
	ISIN <ISIN>	[0..1]	IdentifierSet		256
	Name <Nm>	[1..1]	Text		256
	ShortName <ShrtNm>	[0..1]	Text		256
	ClassType <ClsstP>	[0..1]	Text		257
	UmbrellaName <UmbrllNm>	[0..1]	Text		257
	NewUmbrella <NewUmbrll>	[0..1]	Indicator		257
	ClassificationType <ClssfctnTp>	[0..1]	±		257
	BaseCurrency <BaseCcy>	[0..1]	CodeSet	C1	257
	CountryOfDomicile <CtryOfDmcl>	[0..1]	CodeSet	C5	258
	RegisteredDistributionCountry <RegdDstrbtncry>	[0..*]	CodeSet	C5	258
	ProductType <PdctTp>	[0..1]			259
{Or	Code <Cd>	[1..1]	CodeSet		259
Or}	Proprietary <Prtry>	[1..1]	±		259
	Issuer <Issr>	[0..1]	±		260
	IssuerProductGovernanceProcess <IssrPdctGovncPrc>	[0..1]	±		260
	ProductCategory <PdctCtgy>	[0..1]	Text		260
	ProductCategoryGermany <PdctCtgyDE>	[0..1]	Text		261
	NotionalOrUnitBased <NtnlOrUnitBased>	[0..1]			261
{Or	Code <Cd>	[1..1]	CodeSet		261
Or}	Proprietary <Prtry>	[1..1]	±		261
	QuotationType <QtnTp>	[0..1]	±		262
	LeveragedOrContingentLiability <LvrgdOrCntgntLbly>	[0..1]	Indicator		262

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoRetrocessionIndicator <NoRtrcssnInd>	[0..1]	Indicator		262
	ExPostCostCalculationBasis <ExpstCostClctnBsis>	[0..1]			263
{Or	Code <Cd>	[1..1]	CodeSet		263
Or}	Proprietary <Prtry>	[1..1]	±		263
	AdditionalInformation <AddtlInf>	[0..*]	±		263

16.4.5.8.1 Identification <Id>

Presence: [1..1]

Definition: Identification of the security, typically by an ISIN.

Impacted by: C11 DescriptionPresenceRule, C12 DescriptionUsageRule, C20 ISINGuideline, C21 ISINPresenceRule, C26 OtherIdentificationPresenceRule

Identification <Id> contains the following **SecurityIdentification40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherIdentification <Othrid>	[0..*]			255
	Identification <Id>	[1..1]	Text		256
	Suffix <Sfx>	[0..1]	Text		256
	Type <Tp>	[1..1]	±		256
	Description <Desc>	[0..1]	Text		256
	ISIN <ISIN>	[0..1]	IdentifierSet		256

Constraints

- **DescriptionPresenceRule**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00192

– *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

(Rule)

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

- **ISINPresenceRule**

(Rule)

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
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00194
- *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

(Rule)

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
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00193
- *Error Text:* At least one identification must be present.

16.4.5.8.1.1 OtherIdentification <OthrId>

Presence: [0..*]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		256
	Suffix <Sfx>	[0..1]	Text		256
	Type <Tp>	[1..1]	±		256

16.4.5.8.1.1.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security.

Datatype: [Max35Text on page 3409](#)

16.4.5.8.1.1.2 Suffix <Sfx>

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: [Max16Text on page 3408](#)

16.4.5.8.1.1.3 Type <Tp>

Presence: [1..1]

Definition: Type of the identification.

Type <Tp> contains one of the following elements (see [IdentificationSource3Choice on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2016
Or}	Proprietary <Prtry>	[1..1]	Text		2017

16.4.5.8.1.2 Description <Desc>

Presence: [0..1]

Definition: Textual description of a security instrument.

Datatype: [Max140Text on page 3407](#)

16.4.5.8.1.3 ISIN <ISIN>

Presence: [0..1]

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

Datatype: [ISINOct2015Identifier on page 3400](#)

16.4.5.8.2 Name <Nm>

Presence: [1..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text on page 3409](#)

16.4.5.8.3 ShortName <ShrtNm>

Presence: [0..1]

Definition: Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

Datatype: [Max35Text on page 3409](#)

16.4.5.8.4 ClassType <ClssTp>

Presence: [0..1]

Definition: Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

Datatype: [Max35Text on page 3409](#)

16.4.5.8.5 UmbrellaName <UmbrllNm>

Presence: [0..1]

Definition: Name of the umbrella fund in which the financial instrument is contained.

Datatype: [Max35Text on page 3409](#)

16.4.5.8.6 NewUmbrella <NewUmbrll>

Presence: [0..1]

Definition: Indicates whether the financial instrument is part of a new umbrella.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

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

16.4.5.8.7 ClassificationType <ClssfctnTp>

Presence: [0..1]

Definition: Classification type of the financial instrument, as per the ISO Classification of Financial Instrument (CFI) codification, for example, common share with voting rights, fully paid, or registered.

ClassificationType <ClssfctnTp> contains one of the following elements (see [SecurityClassificationType2Choice on page 2379](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CFI <CFI>	[1..1]	IdentifierSet		2379
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		2379

16.4.5.8.8 BaseCurrency <BaseCcy>

Presence: [0..1]

Definition: Currency of the investment fund class.

Impacted by: [C1 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode on page 3246](#)

Constraints

- **ActiveCurrency**
(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

16.4.5.8.9 CountryOfDomicile <CtryOfDmcl>

Presence: [0..1]

Definition: Country where the fund has legal domicile.

Impacted by: C5 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

16.4.5.8.10 RegisteredDistributionCountry <RegdDstrbtnCtry>

Presence: [0..*]

Definition: Country where the fund is registered for distribution.

Impacted by: C5 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004

– *Error Text:* Invalid Country Code.

16.4.5.8.11 ProductType <PdctTp>

Presence: [0..1]

Definition: Classification of the financial instrument. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00060.

ProductType <PdctTp> contains one of the following **ProductStructure1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		259
Or}	Proprietary <Prtry>	[1..1]	±		259

16.4.5.8.11.1 Code <Cd>

Presence: [1..1]

Definition: Product structure expressed as a code.

Datatype: [ProductStructure1Code on page 3331](#)

CodeName	Name	Definition
BOND	Bond	Product is a bond.
NUMM	NonUCITSMoneyMarketFund	Product is a money market fund that is not an Undertaking for Collective Investment in Transferable Securities (UCITS).
UCMM	UCITSMoneyMarketFund	Product is an Undertaking for Collective Investment in Transferable Securities (UCITS) money market fund.
EXTC	ExchangeTradedCommodity	Product is an exchange traded commodity.
UCIT	UCITS	Product is an Undertaking for Collective Investment in Transferable Securities (UCITS).
SSEC	StructuredSecurity	Product is a structured security.
SFUN	StructuredFund	Product is a structured fund.
NUCI	NonUCITS	Product is a not an Undertaking for Collective Investment in Transferable Securities (UCITS).

16.4.5.8.11.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Product structure expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

16.4.5.8.12 Issuer <Issr>

Presence: [0..1]

Definition: Issuer of the financial instrument. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00070.

Issuer <Issr> contains the following elements (see [ContactAttributes5](#) on page 2606 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2607
	PostalAddress <PstlAdr>	[0..1]	±		2607
	PhoneNumber <PhneNb>	[0..1]	Text		2607
	FaxNumber <FaxNb>	[0..1]	Text		2607
	EmailAddress <EmailAdr>	[0..1]	Text		2607
	URLAddress <URLAdr>	[0..1]	Text		2607
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2608
	LEI <LEI>	[0..1]	IdentifierSet		2608

16.4.5.8.13 IssuerProductGovernanceProcess <IssrPdctGovncPrc>

Presence: [0..1]

Definition: Governance procedure that must be followed. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00075.

IssuerProductGovernanceProcess <IssrPdctGovncPrc> contains one of the following elements (see [GovernanceProcess1Choice](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1885
Or}	Proprietary <Prtry>	[1..1]	±		1885

16.4.5.8.14 ProductCategory <PdctCtgy>

Presence: [0..1]

Definition: Designation of the product category or nature, for example, Pacific Equity, Equity Fund, Money Market Fund. If the product is a structured security product, the European Structured Investment

Products Association (EUSIPA) code should be used as defined in the scope of European MiFID Template (EMT) reference 00095.

Datatype: [Max140Text on page 3407](#)

16.4.5.8.15 ProductCategoryGermany <PdctCtgyDE>

Presence: [0..1]

Definition: Designation of the respective product category or nature for Germany.

If the financial instrument is distributed in the German market, then the German classification of financial instruments code should be used. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00090.

Datatype: [Max140Text on page 3407](#)

16.4.5.8.16 NotionalOrUnitBased <NtnlOrUnitBased>

Presence: [0..1]

Definition: Specifies whether the financial instrument is unit based or notional (nominal). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00085.

NotionalOrUnitBased <NtnlOrUnitBased> contains one of the following **NotionalOrUnitBased1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		261
Or}	Proprietary <Prtry>	[1..1]	±		261

16.4.5.8.16.1 Code <Cd>

Presence: [1..1]

Definition: Type of unit basis for a financial instrument expressed as a code.

Datatype: [NotionalOrUnitBased1Code on page 3316](#)

CodeName	Name	Definition
UNIT	Unit	Basis of a financial instrument is unit.
NOTI	Notional	Basis of a financial instrument is notional.

16.4.5.8.16.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of unit basis for a financial instrument expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

16.4.5.8.17 QuotationType <QtnTp>

Presence: [0..1]

Definition: When the financial instrument is a structured security, specifies if the ex-ante and ex-post costs and charges are specified as an absolute figure, that is, a currency and amount, or as a percentage rate, related to the specific reference value.

When used in reference to MiFID, this is in the scope of the European MiFID Template reference 00096.

QuotationType <QtnTp> contains one of the following elements (see [QuotationType1Choice](#) on page 1884 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1884
Or}	Proprietary <Prtry>	[1..1]	±		1884

16.4.5.8.18 LeveragedOrContingentLiability <LvrgdOrCntgntLbilty>

Presence: [0..1]

Definition: Indicates whether the financial instrument is leveraged or has contingent liability. This enables reporting on the depreciation of leveraged financial instruments or contingent liability transactions in accordance with Art. 62 of the MiFID II's Delegated Regulation as defined in the scope of European MiFID Template (EMT) reference 00100.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

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

16.4.5.8.19 NoRetrocessionIndicator <NoRtrcssnInd>

Presence: [0..1]

Definition: Indicates whether the share class does not pay retrocession fees and commissions. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00110.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

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

16.4.5.8.20 ExPostCostCalculationBasis <ExpStCostClctnBsis>

Presence: [0..1]

Definition: Specifies the basis for ex-post calculations. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00120.

ExPostCostCalculationBasis <ExpStCostClctnBsis> contains one of the following **ExPostCostCalculationBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		263
Or}	Proprietary <Prtry>	[1..1]	±		263

16.4.5.8.20.1 Code <Cd>

Presence: [1..1]

Definition: Ex post cost calculation basis expressed as a code.

Datatype: [ExPostCostCalculationBasis1Code](#) on page 3279

CodeName	Name	Definition
FIXB	FixedBasis	Basic for cost calculation is fixed, that is calendar year.
ROLL	RollingBasis	Basis for cost calculation is rolling, that is, the last twelve months.

16.4.5.8.20.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Ex post cost calculation basis expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

16.4.5.8.21 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the security.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

16.4.5.9 FundParties <FndPties>

Presence: [0..1]

Definition: Parties related to the investment fund.

FundParties <FndPties> contains the following elements (see [FundParties1](#) on page 2608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Guarantor <Guartr>	[0..1]	±		2608
	Auditor <Audtr>	[0..1]	±		2609
	Trustee <Trstee>	[0..1]	±		2609
	OtherParty <OthrPty>	[0..*]	±		2610

16.4.5.10 MainFundOrderDesk <MainFndOrdrDsk>

Presence: [0..1]

Definition: Principal entity appointed by the fund, to which orders should be submitted. Usually located in the country of domicile.

MainFundOrderDesk <MainFndOrdrDsk> contains the following elements (see [OrderDesk1](#) on page 2604 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderDesk <OrdrDsk>	[0..1]	±		2604
	ClosureDates <ClsrDts>	[0..*]	Date		2605
	AdditionalInformation <AddtlInf>	[0..*]	±		2605

16.4.5.11 FundManagementCompany <FndMgmtCpny>

Presence: [0..1]

Definition: Company that is responsible for the management and operation of the fund, for example, determines the investment strategy, appoints the service providers, and makes major decisions for the fund. It is usually responsible for the distribution and marketing of the fund. For self-managed funds, this will often be a separate promoter or sponsor of the fund.

FundManagementCompany <FndMgmtCpny> contains the following elements (see [ContactAttributes5](#) on page 2606 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2607
	PostalAddress <PstlAdr>	[0..1]	±		2607
	PhoneNumber <PhneNb>	[0..1]	Text		2607
	FaxNumber <FaxNb>	[0..1]	Text		2607
	EmailAddress <EmailAdr>	[0..1]	Text		2607
	URLAddress <URLAdr>	[0..1]	Text		2607
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2608
	LEI <LEI>	[0..1]	IdentifierSet		2608

16.4.5.12 FundDetails <FndDtls>

Presence: [0..1]

Definition: Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

FundDetails <FndDtls> contains the following elements (see [FinancialInstrument96](#) on page 1856 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PhysicalBearerSecurities <PhysBrScties>	[0..1]	Indicator		1857
	DematerialisedBearerSecurities <DmtrlSdBrScties>	[0..1]	Indicator		1858
	PhysicalRegisteredSecurities <PhysRegdScties>	[0..1]	Indicator		1858
	DematerialisedRegisteredSecurities <DmtrlSdRegdScties>	[0..1]	Indicator		1858
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1858
	DividendPolicy <DvddPlcy>	[0..1]	CodeSet		1858
	DividendFrequency <DvddFrqcy>	[0..1]	CodeSet		1859
	ReinvestmentFrequency <RinvstmtFrqcy>	[0..1]	CodeSet		1859
	FrontEndLoad <FrntEndLd>	[0..1]	Indicator		1860
	BackEndLoad <BckEndLd>	[0..1]	Indicator		1860
	SwitchFee <SwtchFee>	[0..1]	Indicator		1860
	EUSavingsDirective <EUSvgsDrctv>	[0..1]	CodeSet		1860
	LaunchDate <LnchDt>	[0..1]	Date		1861
	FundEndDate <FndEndDt>	[0..1]	Date		1861
	TerminationDate <TermntnDt>	[0..1]	Date		1861
	InitialOfferEndDate <InitlOfferEndDt>	[0..1]	Date		1861
	SuspensionStartDate <SspnsnStartDt>	[0..1]	Date		1861
	SuspensionEndDate <SspnsnEndDt>	[0..1]	Date		1861
	MaturityDate <MtrtyDt>	[0..1]	Date		1861
	MaybeTerminatedEarly <MaybeTermntdEarly>	[0..1]	CodeSet		1862
	ClosedEndFund <ClsdEndFnd>	[0..1]	Indicator		1862
	Equalisation <Equlstn>	[0..1]	Indicator		1862
	TaxEfficientProductEligible <TaxEffcntPdctElgbl>	[0..1]	Indicator		1862
	Authorised <Authrsd>	[0..1]	Indicator		1862
	RDRCompliant <RDRCmplnt>	[0..1]	Indicator		1863
	ManagementFeeSource <MgmtFeeSrc>	[0..1]	CodeSet		1863
	PerformanceFee <PrfrmncFee>	[0..1]	Indicator		1863
	AdditionalInformation <AddtlInf>	[0..*]	±		1863

16.4.5.13 ValuationDealingCharacteristics <ValtnDealgChrtcs>

Presence: [0..1]

Definition: Processing characteristics linked to the instrument, that is, not to the market.

ValuationDealingCharacteristics <ValtnDealgChrtcs> contains the following elements (see [ValuationDealingProcessingCharacteristics3](#) on page 2840 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2841
	ValuationFrequencyDescription <ValtnFrqcyDesc>	[0..1]	Text		2841
	ValuationTime <ValtnTm>	[0..1]	Time		2842
	DecimalisationUnits <DcmlstnUnits>	[0..1]	Quantity		2842
	DecimalisationPrice <DcmlstnPric>	[0..1]	Quantity		2842
	DualFundIndicator <DualFndInd>	[0..1]	Indicator		2842
	PriceMethod <PricMtd>	[0..1]	CodeSet		2842
	PriceCurrency <PricCcy>	[0..*]	CodeSet	C2	2842
	AdditionalInformation <AddtlInf>	[0..*]	±		2843

16.4.5.14 InvestmentRestrictions <InvstmtRstrctns>

Presence: [0..1]

Definition: Investment restrictions linked to the trading of the investment fund or an alternative/hedge fund.

InvestmentRestrictions <InvstmtRstrctns> contains the following elements (see [InvestmentRestrictions3](#) on page 2294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MinimumInitialSubscriptionAmount <MinInitlSbcptAmt>	[0..1]	Amount	C2, C10	2294
	MinimumInitialSubscriptionUnits <MinInitlSbcptUnits>	[0..1]	Quantity		2295
	MinimumSubsequentSubscriptionAmount <MinSbsqntSbcptAmt>	[0..1]	Amount	C2, C10	2295
	MinimumSubsequentSubscriptionUnits <MinSbsqntSbcptUnits>	[0..1]	Quantity		2296
	MaximumRedemptionAmount <MaxRedAmt>	[0..1]	Amount	C2, C10	2296
	MaximumRedemptionUnits <MaxRedUnits>	[0..1]	Quantity		2297
	MinimumRedemptionPercentage <MinRedPctg>	[0..1]	Quantity		2297
	OtherRedemptionRestrictions <OthrRedRstrctns>	[0..1]	Text		2297
	MinimumSwitchSubscriptionAmount <MinSwtchSbcptAmt>	[0..1]	Amount	C2, C10	2297
	MinimumSwitchSubscriptionUnits <MinSwtchSbcptUnits>	[0..1]	Quantity		2298
	MaximumSwitchRedemptionAmount <MaxSwtchRedAmt>	[0..1]	Amount	C2, C10	2298
	MaximumSwitchRedemptionUnits <MaxSwtchRedUnits>	[0..1]	Quantity		2299
	OtherSwitchRestrictions <OthrSwtchRstrctns>	[0..1]	Text		2299
	MinimumHoldingAmount <MinHldgAmt>	[0..1]	Amount	C2, C10	2299
	MinimumHoldingUnits <MinHldgUnits>	[0..1]	Quantity		2300
	MinimumHoldingPeriod <MinHldgPrd>	[0..1]	Text		2300
	HoldingTransferable <HldgTrfbl>	[0..1]	CodeSet		2300
	AdditionalInformation <AddtlInf>	[0..*]	±		2300

16.4.5.15 SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>

Presence: [0..1]

Definition: Processing characteristics linked to a subscription to the investment fund or alternative/hedge fund.

Impacted by: C7 DealingCutOffTimeFrameRule

SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs> contains the following elements (see ProcessingCharacteristics8 on page 2215 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	2217
	InitialInvestmentApplication <InitlInvstmtAppl>	[0..1]			2217
	ApplicationForm <ApplForm>	[1..1]	Indicator		2217
	SignatureType <SgntrTp>	[1..1]	CodeSet		2218
	SubsequentInvestmentApplication <SbsqntInvstmtAppl>	[0..1]			2218
	ApplicationForm <ApplForm>	[1..1]	Indicator		2218
	SignatureType <SgntrTp>	[1..1]	CodeSet		2218
	AmountIndicator <AmtInd>	[0..1]	Indicator		2219
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		2219
	Rounding <Rndg>	[0..1]	CodeSet		2219
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		2219
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		2220
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		2220
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		2220
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	2221
	DealConfirmationTime <DealConfTm>	[0..1]	Time		2221
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C23, C30	2222
	LimitedPeriod <LtdPrd>	[0..1]	Text		2223
	SettlementCycle <SttlmCycl>	[0..1]			2223
{Or	TradePlus <TPlus>	[1..1]	Quantity		2223
Or}	Prepayment <Prepmt>	[1..1]	Indicator		2223
	AdditionalInformation <AddtlInf>	[0..*]	±		2223

Constraints

- **DealingCutOffTimeFrameRule**

(Rule)

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present
Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00156
- *Error Text:* At least one element must be present.

16.4.5.16 RedemptionProcessingCharacteristics <RedPrcgChrtcs>

Presence: [0..1]

Definition: Processing characteristics linked to a redemption from the investment fund or alternative/hedge fund.

Impacted by: C8 DealingCutOffTimeFrameRule

RedemptionProcessingCharacteristics <RedPrcgChrtcs> contains the following elements (see ProcessingCharacteristics7 on page 2265 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	2267
	RedemptionAuthorisation <RedAuthstn>	[0..1]			2267
	ApplicationForm <ApplForm>	[1..1]	Indicator		2267
	SignatureType <SgntrTp>	[1..1]	CodeSet		2268
	AmountIndicator <AmtInd>	[0..1]	Indicator		2268
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		2268
	Rounding <Rndg>	[0..1]	CodeSet		2268
	PercentageIndicator <PctgInd>	[0..1]	Indicator		2268
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		2269
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		2269
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		2269
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		2270
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	2270
	DealConfirmationTime <DealConfTm>	[0..1]	Time		2271
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C24, C31	2271
	LimitedPeriod <LtdPrd>	[0..1]	Text		2272
	SettlementCycle <SttlmCycl>	[0..1]			2272
{Or	TradePlus <TPlus>	[1..1]	Quantity		2272
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		2272
	AdditionalInformation <AddtlInf>	[0..*]	±		2272

Constraints

• **DealingCutOffTimeFrameRule**

(Rule)

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

Error handling:

- Error severity: Fatal
- Error Code: X00156
- Error Text: At least one element must be present.

16.4.5.17 SwitchProcessingCharacteristics <SwchPrcgChrtcs>

Presence: [0..1]

Definition: Processing characteristics linked to a switch of the investment fund or alternative/hedge fund.

Impacted by: C9 DealingCutOffTimeFrameRule

SwitchProcessingCharacteristics <SwchPrcgChrtcs> contains the following elements (see ProcessingCharacteristics6 on page 2280 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	2281
	SwitchAuthorisation <SwchAuthstn>	[0..1]			2281
	ApplicationForm <ApplForm>	[1..1]	Indicator		2281
	SignatureType <SgntrTp>	[1..1]	CodeSet		2282
	AmountIndicator <AmtInd>	[0..1]	Indicator		2282
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		2282
	Rounding <Rndg>	[0..1]	CodeSet		2282
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		2282
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		2283
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		2283
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		2283
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	2284
	DealConfirmationTime <DealConfTm>	[0..1]	Time		2284
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C25, C32	2285
	LimitedPeriod <LtdPrd>	[0..1]	Text		2286
	SettlementCycle <SttlmCycl>	[0..1]			2286
{Or	TradePlus <TPlus>	[1..1]	Quantity		2286
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		2286
	AdditionalInformation <AddtlInf>	[0..*]	±		2286

Constraints

• **DealingCutOffTimeFrameRule**

(Rule)

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00156
- *Error Text:* At least one element must be present.

16.4.5.18 PlanCharacteristics <PlanChrtcs>

Presence: [0..*]

Definition: Characteristics of the investment plan.

Impacted by: C19 InvestmentPlanRule

PlanCharacteristics <PlanChrtcs> contains the following elements (see InvestmentPlanCharacteristics1 on page 2277 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlanType <PlanTp>	[1..1]			2277
{Or	Code <Cd>	[1..1]	CodeSet		2277
Or}	Proprietary <Prtry>	[1..1]	±		2278
	Frequency <Frqcy>	[0..1]	±		2278
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		2278
	Quantity <Qty>	[0..1]	±		2278
	PlanContinuation <PlanConttn>	[0..1]	Indicator		2279
	AdditionalSubscription <AddtlSbcpt>	[0..1]	Indicator		2279
	AdditionalSubscriptionFunction <AddtlSbcptFctn>	[0..1]	Indicator		2279
	AdditionalInformation <AddtlInf>	[0..*]	±		2279

Constraints

• **InvestmentPlanRule**

(Rule)

If PlanType/Code is not INVP the AdditionalSubscription and AdditionalSubscriptionFunction must not be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

16.4.5.19 PaymentInstrument <PmtInstrm>

Presence: [0..*]

Definition: Specifies, for a specific type of transaction, how amounts are to be paid in or paid out.

PaymentInstrument <PmtInstrm> contains the following elements (see [PaymentInstrument16](#) on page 2728 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderType <OrdrtP>	[1..1]			2728
{Or	Code <Cd>	[1..1]	CodeSet		2729
Or}	Proprietary <Prtry>	[1..1]	±		2729
	InstrumentType <InstrmTp>	[1..1]			2729
{Or	Code <Cd>	[1..1]	CodeSet		2730
Or}	Proprietary <Prtry>	[1..1]	±		2730
	AdditionalInformation <AddtlInf>	[0..*]	±		2730

16.4.5.20 CashSettlementDetails <CshSttlmDtls>

Presence: [0..*]

Definition: Account to be used for cash settlement.

CashSettlementDetails <CshSttlmDtls> contains the following **CashAccount205** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[0..1]	CodeSet	C1	275
	PrimaryAccount <PmryAcct>	[0..1]			275
	AccountIdentification <AcctId>	[1..1]			276
	Identification <Id>	[1..1]	±		276
	Name <Nm>	[0..1]	Text		276
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	276
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		277
	SecondaryAccount <ScndryAcct>	[0..1]			277
	AccountIdentification <AcctId>	[1..1]			277
	Identification <Id>	[1..1]	±		278
	Name <Nm>	[0..1]	Text		278
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	278
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		279

16.4.5.20.1 Currency <Ccy>

Presence: [0..1]

Definition: Currency of the settlement.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

16.4.5.20.2 PrimaryAccount <PmryAcct>

Presence: [0..1]

Definition: Cash account for settlement.

PrimaryAccount <PmryAcct> contains the following **CashAccount206** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]			276
	Identification <Id>	[1..1]	±		276
	Name <Nm>	[0..1]	Text		276
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	276
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		277

16.4.5.20.2.1 AccountIdentification <AcctId>

Presence: [1..1]

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

AccountIdentification <AcctId> contains the following **AccountIdentificationAndName7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		276
	Name <Nm>	[0..1]	Text		276

16.4.5.20.2.1.1 Identification <Id>

Presence: [1..1]

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

Identification <Id> contains one of the following elements (see [CashAccountIdentification8Choice](#) on page 1593 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Other <Othr>	[1..1]	±		1593
Or}	IBAN <IBAN>	[1..1]	IdentifierSet	C16	1593

16.4.5.20.2.1.2 Name <Nm>

Presence: [0..1]

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

Datatype: [Max35Text](#) on page 3409

16.4.5.20.2.2 Servicer <Svcr>

Presence: [0..1]

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

Impacted by: C2 AnyBIC

Datatype: AnyBICDec2014Identifier on page 3392

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- Error severity: Fatal
- Error Code: D00008
- Error Text: Invalid BIC.

16.4.5.20.2.3 AccountTypeDescription <AcctTpDesc>

Presence: [0..1]

Definition: Additional means of identification of the account, as designated by the account servicer in agreement with the account owner.

Datatype: Max35Text on page 3409

16.4.5.20.3 SecondaryAccount <ScndryAcct>

Presence: [0..1]

Definition: Sub-division of a master or omnibus cash account.

SecondaryAccount <ScndryAcct> contains the following **CashAccount206** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]			277
	Identification <Id>	[1..1]	±		278
	Name <Nm>	[0..1]	Text		278
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	278
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		279

16.4.5.20.3.1 AccountIdentification <AcctId>

Presence: [1..1]

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

AccountIdentification <AcctId> contains the following **AccountIdentificationAndName7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		278
	Name <Nm>	[0..1]	Text		278

16.4.5.20.3.1.1 Identification <Id>

Presence: [1..1]

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

Identification <Id> contains one of the following elements (see [CashAccountIdentification8Choice](#) on page 1593 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Other <Othr>	[1..1]	±		1593
Or}	IBAN <IBAN>	[1..1]	IdentifierSet	C16	1593

16.4.5.20.3.1.2 Name <Nm>

Presence: [0..1]

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

Datatype: [Max35Text](#) on page 3409

16.4.5.20.3.2 Servicer <Svcr>

Presence: [0..1]

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

Impacted by: [C2 AnyBIC](#)

Datatype: [AnyBICDec2014Identifier](#) on page 3392

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008

– *Error Text:* Invalid BIC.

16.4.5.20.3.3 AccountTypeDescription <AcctTpDesc>

Presence: [0..1]

Definition: Additional means of identification of the account, as designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text on page 3409](#)

16.4.5.21 LocalMarketAnnex <LcIMktAnx>

Presence: [0..*]

Definition: Processing characteristics specific to a local fund order desk.

LocalMarketAnnex <LcIMktAnx> contains the following **LocalMarketAnnex5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..*]	CodeSet	C5	280
	LocalOrderDesk <LclOrdrDsk>	[1..1]	±		280
	SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>	[0..1]	±	C7	280
	RedemptionProcessingCharacteristics <RedPrcgChrtcs>	[0..1]	±	C10	282
	SwitchProcessingCharacteristics <SwchPrcgChrtcs>	[0..1]	±	C9	284
	CashSettlementDetails <CshSttlmDtls>	[0..*]			285
	Currency <Ccy>	[0..1]	CodeSet	C1	285
	PrimaryAccount <PmryAcct>	[0..1]			286
	AccountIdentification <AcctId>	[1..1]			286
	Identification <Id>	[1..1]	±		286
	Name <Nm>	[0..1]	Text		287
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	287
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		287
	SecondaryAccount <ScndryAcct>	[0..1]			287
	AccountIdentification <AcctId>	[1..1]			288
	Identification <Id>	[1..1]	±		288
	Name <Nm>	[0..1]	Text		288
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	288
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		289
	AdditionalInformation <AddtlInf>	[0..*]	±		289

16.4.5.21.1 Country <Ctry>

Presence: [1..*]

Definition: Country of the local fund order desk.

Impacted by: C5 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

16.4.5.21.2 LocalOrderDesk <LclOrdDsk>

Presence: [1..1]

Definition: Local entity appointed by the fund, to which orders should be submitted.

LocalOrderDesk <LclOrdDsk> contains the following elements (see OrderDesk1 on page 2604 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderDesk <OrdDsk>	[0..1]	±		2604
	ClosureDates <ClsrDts>	[0..*]	Date		2605
	AdditionalInformation <AddtlInf>	[0..*]	±		2605

16.4.5.21.3 SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>

Presence: [0..1]

Definition: Processing characteristics linked to a subscription to the investment fund or alternative/hedge fund.

Impacted by: C7 DealingCutOffTimeFrameRule

SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs> contains the following elements (see ProcessingCharacteristics8 on page 2215 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	2217
	InitialInvestmentApplication <InitlInvstmtAppl>	[0..1]			2217
	ApplicationForm <ApplForm>	[1..1]	Indicator		2217
	SignatureType <SgntrTp>	[1..1]	CodeSet		2218
	SubsequentInvestmentApplication <SbsqntInvstmtAppl>	[0..1]			2218
	ApplicationForm <ApplForm>	[1..1]	Indicator		2218
	SignatureType <SgntrTp>	[1..1]	CodeSet		2218
	AmountIndicator <AmtInd>	[0..1]	Indicator		2219
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		2219
	Rounding <Rndg>	[0..1]	CodeSet		2219
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		2219
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		2220
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		2220
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		2220
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	2221
	DealConfirmationTime <DealConfTm>	[0..1]	Time		2221
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C23, C30	2222
	LimitedPeriod <LtdPrd>	[0..1]	Text		2223
	SettlementCycle <SttlmCycl>	[0..1]			2223
{Or	TradePlus <TPlus>	[1..1]	Quantity		2223
Or}	Prepayment <Prepmt>	[1..1]	Indicator		2223
	AdditionalInformation <AddtlInf>	[0..*]	±		2223

Constraints

- **DealingCutOffTimeFrameRule**

(Rule)

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present
Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00156
- *Error Text:* At least one element must be present.

16.4.5.21.4 RedemptionProcessingCharacteristics <RedPrcgChrtcs>

Presence: [0..1]

Definition: Processing characteristics linked to a redemption to the investment fund or alternative/hedge fund.

Impacted by: C10 DealingCutOffTimeFrameRule

RedemptionProcessingCharacteristics <RedPrcgChrtcs> contains the following elements (see ProcessingCharacteristics5 on page 2286 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	2288
	RedemptionAuthorisation <RedAuthstn>	[0..1]			2288
	ApplicationForm <ApplForm>	[1..1]	Indicator		2288
	SignatureType <SgntrTp>	[1..1]	CodeSet		2289
	AmountIndicator <AmtInd>	[0..1]	Indicator		2289
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		2289
	Rounding <Rndg>	[0..1]	CodeSet		2289
	PercentageIndicator <PctgInd>	[0..1]	Indicator		2289
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		2290
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		2290
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		2290
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		2291
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	2291
	DealConfirmationTime <DealConfTm>	[0..1]	Time		2292
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C25, C32	2292
	LimitedPeriod <LtdPrd>	[0..1]	Text		2293
	SettlementCycle <SttlmCycl>	[0..1]			2293
{Or	TradePlus <TPlus>	[1..1]	Quantity		2293
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		2293
	AdditionalInformation <AddtlInf>	[0..*]	±		2293

Constraints

• **DealingCutOffTimeFrameRule**

(Rule)

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00156
- *Error Text:* At least one element must be present.

16.4.5.21.5 SwitchProcessingCharacteristics <SwchPrcgChrtcs>

Presence: [0..1]

Definition: Processing characteristics linked to a switch of the investment fund or alternative/hedge fund.

Impacted by: C9 DealingCutOffTimeFrameRule

SwitchProcessingCharacteristics <SwchPrcgChrtcs> contains the following elements (see [ProcessingCharacteristics6](#) on page 2280 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	2281
	SwitchAuthorisation <SwchAuthstn>	[0..1]			2281
	ApplicationForm <ApplForm>	[1..1]	Indicator		2281
	SignatureType <SgntrTp>	[1..1]	CodeSet		2282
	AmountIndicator <AmtInd>	[0..1]	Indicator		2282
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		2282
	Rounding <Rndg>	[0..1]	CodeSet		2282
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		2282
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		2283
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		2283
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		2283
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	2284
	DealConfirmationTime <DealConfTm>	[0..1]	Time		2284
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C25, C32	2285
	LimitedPeriod <LtdPrd>	[0..1]	Text		2286
	SettlementCycle <SttlmCycl>	[0..1]			2286
{Or	TradePlus <TPlus>	[1..1]	Quantity		2286
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		2286
	AdditionalInformation <AddtlInf>	[0..*]	±		2286

Constraints

• **DealingCutOffTimeFrameRule**

(Rule)

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00156
- *Error Text:* At least one element must be present.

16.4.5.21.6 CashSettlementDetails <CshSttlmDtls>

Presence: [0..*]

Definition: Account to be used for cash settlement.

CashSettlementDetails <CshSttlmDtls> contains the following **CashAccount205** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[0..1]	CodeSet	C1	285
	PrimaryAccount <PmryAcct>	[0..1]			286
	AccountIdentification <AcctId>	[1..1]			286
	Identification <Id>	[1..1]	±		286
	Name <Nm>	[0..1]	Text		287
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	287
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		287
	SecondaryAccount <ScndryAcct>	[0..1]			287
	AccountIdentification <AcctId>	[1..1]			288
	Identification <Id>	[1..1]	±		288
	Name <Nm>	[0..1]	Text		288
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	288
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		289

16.4.5.21.6.1 Currency <Ccy>

Presence: [0..1]

Definition: Currency of the settlement.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

16.4.5.21.6.2 PrimaryAccount <PmryAcct>

Presence: [0..1]

Definition: Cash account for settlement.

PrimaryAccount <PmryAcct> contains the following **CashAccount206** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]			286
	Identification <Id>	[1..1]	±		286
	Name <Nm>	[0..1]	Text		287
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	287
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		287

16.4.5.21.6.2.1 AccountIdentification <AcctId>

Presence: [1..1]

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

AccountIdentification <AcctId> contains the following **AccountIdentificationAndName7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		286
	Name <Nm>	[0..1]	Text		287

16.4.5.21.6.2.1.1 Identification <Id>

Presence: [1..1]

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

Identification <Id> contains one of the following elements (see [CashAccountIdentification8Choice](#) on page 1593 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Other <Othr>	[1..1]	±		1593
Or}	IBAN <IBAN>	[1..1]	IdentifierSet	C16	1593

16.4.5.21.6.2.1.2 Name <Nm>

Presence: [0..1]

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

Datatype: [Max35Text](#) on page 3409

16.4.5.21.6.2.2 Servicer <Svcr>

Presence: [0..1]

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

Impacted by: [C2 AnyBIC](#)

Datatype: [AnyBICDec2014Identifier](#) on page 3392

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

16.4.5.21.6.2.3 AccountTypeDescription <AcctTpDesc>

Presence: [0..1]

Definition: Additional means of identification of the account, as designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

16.4.5.21.6.3 SecondaryAccount <ScndryAcct>

Presence: [0..1]

Definition: Sub-division of a master or omnibus cash account.

SecondaryAccount <ScndryAcct> contains the following **CashAccount206** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]			288
	Identification <Id>	[1..1]	±		288
	Name <Nm>	[0..1]	Text		288
	Servicer <Svcr>	[0..1]	IdentifierSet	C2	288
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		289

16.4.5.21.6.3.1 AccountIdentification <AcctId>

Presence: [1..1]

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

AccountIdentification <AcctId> contains the following **AccountIdentificationAndName7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		288
	Name <Nm>	[0..1]	Text		288

16.4.5.21.6.3.1.1 Identification <Id>

Presence: [1..1]

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

Identification <Id> contains one of the following elements (see [CashAccountIdentification8Choice](#) on page 1593 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Other <Othr>	[1..1]	±		1593
Or}	IBAN <IBAN>	[1..1]	IdentifierSet	C16	1593

16.4.5.21.6.3.1.2 Name <Nm>

Presence: [0..1]

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

Datatype: [Max35Text](#) on page 3409

16.4.5.21.6.3.2 Servicer <Svcr>

Presence: [0..1]

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

Impacted by: C2 AnyBIC

Datatype: AnyBICDec2014Identifier on page 3392

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

16.4.5.21.6.3.3 AccountTypeDescription <AcctTpDesc>

Presence: [0..1]

Definition: Additional means of identification of the account, as designated by the account servicer in agreement with the account owner.

Datatype: Max35Text on page 3409

16.4.5.21.7 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the fund order desk.

AdditionalInformation <AddtlInf> contains the following elements (see AdditionalInformation15 on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

16.4.5.22 TargetMarket <TrgtMkt>

Presence: [0..1]

Definition: Target market criteria.

TargetMarket <TrgtMkt> contains the following **TargetMarket3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReferenceDate <RefDt>	[0..1]	Date		291
	InvestorType <InvstrTp>	[0..1]			291
	InvestorTypeRetail <InvstrTpRtl>	[0..1]	CodeSet		291
	InvestorTypeProfessional <InvstrTpPrfssnl>	[0..1]	±		292
	InvestorTypeEligibleCounterparty <InvstrTpElgblCtrPty>	[0..1]	CodeSet		292
	Other <Othr>	[0..*]	±		292
	KnowledgeAndOrExperience <KwldgAndOrExprnc>	[0..1]			293
	BasicInvestor <BsiclInvstr>	[0..1]	CodeSet		293
	InformedInvestor <InfrmdInvstr>	[0..1]	CodeSet		293
	AdvancedInvestor <AdvncdInvstr>	[0..1]	CodeSet		294
	ExpertInvestorGermany <ExprtlInvstrDE>	[0..1]	CodeSet		294
	Other <Othr>	[0..*]	±		294
	AbilityToBearLosses <AbltyToBearLosses>	[0..1]			295
	NoCapitalLoss <NoCptlLoss>	[0..1]	CodeSet		295
	LimitedCapitalLoss <LtdCptlLoss>	[0..1]	CodeSet		295
	LimitedCapitalLossLevel <LtdCptlLossLvl>	[0..1]	Rate		296
	NoCapitalGuarantee <NoCptlGrnt>	[0..1]	CodeSet		296
	LossBeyondCapital <LossByndCptl>	[0..1]	CodeSet		296
	Other <Othr>	[0..*]	±		296
	RiskTolerance <RskTlrnce>	[0..1]			297
	RiskTolerancePRIIPSMethodology <RskTlrncePRIIPSMthdlgy>	[0..1]	Quantity		297
	RiskToleranceUCITSMethodology <RskTlrnceUCITSMthdlgy>	[0..1]	Quantity		297
	RiskToleranceInternal <RskTlrnceIntl>	[0..1]	CodeSet		297
	RiskToleranceForNonPRIIPSAAndNonUCITSSpain <RskTlrnceForNonPRIIPSAAndNonUCITSES>	[0..1]	Quantity		298
	NotForInvestorsWithTheLowestRiskToleranceGermany <NotForInvstrsWthTheLwstRskTlrnceDE>	[0..1]	CodeSet		298
	Other <Othr>	[0..*]	±		298
	ClientObjectivesAndNeeds <ClntObjctvsAndNeeds>	[0..1]			298
	ReturnProfilePreservation <RtrPrflPrsrvtm>	[0..1]	CodeSet		299
	ReturnProfileGrowth <RtrPrflGrwth>	[0..1]	CodeSet		299

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReturnProfileIncome <RtrPrflIncm>	[0..1]	CodeSet		300
	ReturnProfileHedging <RtrPrflHdgg>	[0..1]	CodeSet		300
	OptionOrLeveragedReturnProfile <OptnOrLvrgdRtrPrfl>	[0..1]	CodeSet		300
	ReturnProfilePensionSchemeGermany <RtrPrflPnsnSchmeDE>	[0..1]	CodeSet		300
	MinimumHoldingPeriod <MinHldgPrd>	[0..1]	±		301
	ESGPreferences <ESGPrefs>	[0..1]	CodeSet		301
	SustainabilityPreferences <SstnblyPrefs>	[0..1]	CodeSet		301
	OtherSpecificInvestmentNeed <OthrSpfcInvstmtNeed>	[0..1]	±		302
	Other <Othr>	[0..*]	±		302
	Other <Othr>	[0..*]	±		302

16.4.5.22.1 ReferenceDate <RefDt>

Presence: [0..1]

Definition: Date to which the target market data refers. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 01000.

Datatype: [ISODate on page 3391](#)

16.4.5.22.2 InvestorType <InvstrTp>

Presence: [0..1]

Definition: Investor for which the financial instrument is targeted.

InvestorType <InvstrTp> contains the following **InvestorType2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorTypeRetail <InvstrTpRtl>	[0..1]	CodeSet		291
	InvestorTypeProfessional <InvstrTpPrfssnl>	[0..1]	±		292
	InvestorTypeEligibleCounterparty <InvstrTpElgblCtrPty>	[0..1]	CodeSet		292
	Other <Othr>	[0..*]	±		292

16.4.5.22.2.1 InvestorTypeRetail <InvstrTpRtl>

Presence: [0..1]

Definition: Specifies whether the product is aimed at the retail investor. If neutral, the manufacturer estimates that there is neither a negative nor a positive target market. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 01010.

Datatype: [TargetMarket1Code on page 3359](#)

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.2.2 InvestorTypeProfessional <InvstrTpPrfssnl>

Presence: [0..1]

Definition: Specifies how the product is aimed at the professional investor. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 01020.

InvestorTypeProfessional <InvstrTpPrfssnl> contains one of the following elements (see [TargetMarket5Choice](#) on page 2351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2352
Or}	Other <Othr>	[1..1]	CodeSet		2352

16.4.5.22.2.3 InvestorTypeEligibleCounterparty <InvstrTpElgblCtrPty>

Presence: [0..1]

Definition: Specifies whether the product is aimed at the eligible counterparty. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 01030.

Datatype: [TargetMarket3Code](#) on page 3359

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.2.4 Other <Othr>

Presence: [0..*]

Definition: Specifies another investor type.

Other <Othr> contains the following elements (see [OtherTargetMarketInvestor1](#) on page 2356 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorType <InvstrTp>	[0..1]	Text		2357
	Target <Trgt>	[0..1]			2357
{Or	Type <Tp>	[1..1]	CodeSet		2357
Or	Other <Othr>	[1..1]	CodeSet		2357
Or}	Proprietary <Prtry>	[1..1]	±		2358
	AdditionalInformation <AddtlInf>	[0..1]	±		2358

16.4.5.22.3 KnowledgeAndOrExperience <KwldgAndOrExprnc>

Presence: [0..1]

Definition: Knowledge and/or experience of the investor.

KnowledgeAndOrExperience <KwldgAndOrExprnc> contains the following **InvestorKnowledge1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BasicInvestor <BsicInvstr>	[0..1]	CodeSet		293
	InformedInvestor <InfrmdlInvstr>	[0..1]	CodeSet		293
	AdvancedInvestor <AdvncdInvstr>	[0..1]	CodeSet		294
	ExpertInvestorGermany <ExprtInvstrDE>	[0..1]	CodeSet		294
	Other <Othr>	[0..*]	±		294

16.4.5.22.3.1 BasicInvestor <BsicInvstr>

Presence: [0..1]

Definition: Specifies whether the investor is a basic investor. A basic investor has one, or more, of the following characteristics:

- a basic knowledge of relevant financial instruments (a basic investor can make an informed investment decision based on the regulated and authorised offering documentation or with the help of basic information provided at the point of sale),
- no financial industry experience, that is, suited to a first time investor.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 02010.

Datatype: [TargetMarket1Code](#) on page 3359

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.3.2 InformedInvestor <InfrmdlInvstr>

Presence: [0..1]

Definition: Specifies whether the investor is an informed investor. An informed investor has one, or more, of the following characteristics:

- average knowledge of relevant financial products (an informed investor can make an informed investment decision based on the regulated and authorised offering documentation, together with knowledge and understanding of the specific factors/risks highlighted within them only),
- some financial industry experience.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 02020.

Datatype: [TargetMarket1Code on page 3359](#)

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.3.3 AdvancedInvestor <AdvncdInvstr>

Presence: [0..1]

Definition: Specifies whether the investor is an advanced investor. An advanced investor has one, or more, of the following characteristics:

- good knowledge of relevant financial products and transactions, financial industry experience or accompanied by professional investment advice or included in a - discretionary portfolio service.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 02030.

Datatype: [TargetMarket1Code on page 3359](#)

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.3.4 ExpertInvestorGermany <ExprrtInvstrDE>

Presence: [0..1]

Definition: Specifies whether the investor is an expert investor. An expert investor has expert knowledge of and/or experience with highly specialised financial products. (Specific to Germany.)

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 02040.

Datatype: [TargetMarket1Code on page 3359](#)

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.3.5 Other <Othr>

Presence: [0..*]

Definition: Type of investor knowledge and experience for which the financial instrument is targeted.

Other <Othr> contains the following elements (see [OtherTargetMarketInvestorKnowledge1](#) on page 2355 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorKnowledgeType <InvstrKnwldgTp>	[0..1]	Text		2355
	Target <Trgt>	[0..1]			2355
{Or	Code <Cd>	[1..1]	CodeSet		2356
Or}	Proprietary <Prtry>	[1..1]	±		2356
	AdditionalInformation <AddtlInf>	[0..1]	±		2356

16.4.5.22.4 AbilityToBearLosses <AbiltyToBearLosses>

Presence: [0..1]

Definition: Investor's ability to bear losses.

AbilityToBearLosses <AbiltyToBearLosses> contains the following **LossBearing2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoCapitalLoss <NoCptlLoss>	[0..1]	CodeSet		295
	LimitedCapitalLoss <LtdCptlLoss>	[0..1]	CodeSet		295
	LimitedCapitalLossLevel <LtdCptlLossLvl>	[0..1]	Rate		296
	NoCapitalGuarantee <NoCptlGrnt>	[0..1]	CodeSet		296
	LossBeyondCapital <LossByndCptl>	[0..1]	CodeSet		296
	Other <Othr>	[0..*]	±		296

16.4.5.22.4.1 NoCapitalLoss <NoCptlLoss>

Presence: [0..1]

Definition: Specifies whether the product is compatible with a client who cannot bear loss of capital. Minor losses especially due to costs are possible. For a negative target (no), the product should not be sold to investors that cannot bear losses. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03010.

Datatype: [TargetMarket1Code](#) on page 3359

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.4.2 LimitedCapitalLoss <LtdCptlLoss>

Presence: [0..1]

Definition: Specifies whether the product is compatible with a client who is seeking to preserve capital or who can bear losses limited to a level specified by a structured security or structure fund product.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03020.

Datatype: [TargetMarket1Code on page 3359](#)

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.4.3 LimitedCapitalLossLevel <LtdCptlLossLvl>

Presence: [0..1]

Definition: Specifies the percentage of loss that can be carried by the investor. This is only specified when a clear partial capital guarantee is provided on the primary market. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03030.

Datatype: [PercentageRate on page 3406](#)

16.4.5.22.4.4 NoCapitalGuarantee <NoCptlGrnt>

Presence: [0..1]

Definition: Specifies the product is compatible with a client who does not need capital guarantee nor protection. One hundred percent of the capital is at risk. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03040.

Datatype: [TargetMarket1Code on page 3359](#)

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.4.5 LossBeyondCapital <LossByndCptl>

Presence: [0..1]

Definition: Specifies the product is compatible with a client who can bear loss beyond the capital. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03050.

Datatype: [TargetMarket1Code on page 3359](#)

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.4.6 Other <Othr>

Presence: [0..*]

Definition: Specifies another type of loss bearing.

Other <Othr> contains the following elements (see [OtherTargetMarketLossBearing1](#) on page 2353 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AbilityToBearLossesType <AblyToBearLossesTp>	[0..1]	Text		2354
	Target <Trgt>	[0..1]			2354
{Or	Code <Cd>	[1..1]	CodeSet		2354
Or}	Proprietary <Prtry>	[1..1]	±		2354
	AdditionalInformation <AddtlInf>	[0..1]	±		2355

16.4.5.22.5 RiskTolerance <RskTlrnce>

Presence: [0..1]

Definition: Investor's tolerance to risk.

RiskTolerance <RskTlrnce> contains the following **RiskTolerance1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RiskTolerancePRIIPSMethodology <RskTlrncePRIIPSMthdlgy>	[0..1]	Quantity		297
	RiskToleranceUCITSMethodology <RskTlrnceUCITSMthdlgy>	[0..1]	Quantity		297
	RiskToleranceInternal <RskTlrnceIntl>	[0..1]	CodeSet		297
	RiskToleranceForNonPRIIPSAAndNonUCITSSpain <RskTlrnceForNonPRIIPSAAndNonUCITSES>	[0..1]	Quantity		298
	NotForInvestorsWithTheLowestRiskToleranceGermany <NotForInvstrsWthTheLwstRskTlrnceDE>	[0..1]	CodeSet		298
	Other <Othr>	[0..*]	±		298

16.4.5.22.5.1 RiskTolerancePRIIPSMethodology <RskTlrncePRIIPSMthdlgy>

Presence: [0..1]

Definition: Specifies the Summary Risk Indicator (SRI). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04010.

Datatype: [Max1Number](#) on page 3405

16.4.5.22.5.2 RiskToleranceUCITSMethodology <RskTlrnceUCITSMthdlgy>

Presence: [0..1]

Definition: Specifies the Synthetic Risk and Reward Indicator (SRRI). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04020.

Datatype: [Max1Number](#) on page 3405

16.4.5.22.5.3 RiskToleranceInternal <RskTlrnceIntl>

Presence: [0..1]

Definition: Specifies the risk tolerance for non-PRIPs and non-UCITS instructions. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04030.

Datatype: [RiskLevel1Code](#) on page 3347

CodeName	Name	Definition
HIGH	High	High.
LOWW	Low	Low.
MEDM	Medium	Medium.

16.4.5.22.5.4 RiskToleranceForNonPRIIPsAndNonUCITSSpain <RskTlrnceForNonPRIIPsAndNonUCITSES>

Presence: [0..1]

Definition: Specifies the Summary Risk Indicator (SRI) for a Spanish product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04040.

Datatype: [Max1Number](#) on page 3405

16.4.5.22.5.5 NotForInvestorsWithTheLowestRiskToleranceGermany <NotForInvstrsWthTheLwstRskTlrnceDE>

Presence: [0..1]

Definition: Specifies the risk tolerance for a German product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04050.

Datatype: [TargetMarket2Code](#) on page 3359

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.
YSCO	InScope	Yes, is applicable.

16.4.5.22.5.6 Other <Othr>

Presence: [0..*]

Definition: Specifies another type of risk tolerance.

Other <Othr> contains the following elements (see [OtherTargetMarketRiskTolerance1](#) on page 2352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RiskToleranceType <RskTlrnceTp>	[0..1]	Text		2352
	Target <Trgt>	[0..1]			2352
{Or	Code <Cd>	[1..1]	CodeSet		2353
Or}	Proprietary <Prtry>	[1..1]	±		2353
	AdditionalInformation <AddtlInf>	[0..1]	±		2353

16.4.5.22.6 ClientObjectivesAndNeeds <ClntObjctvsAndNeeds>

Presence: [0..1]

Definition: Investor's investment requirements.

ClientObjectivesAndNeeds <ClntObjctvsAndNeeds> contains the following **InvestorRequirements3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReturnProfilePreservation <RtrPrflPrsrvtn>	[0..1]	CodeSet		299
	ReturnProfileGrowth <RtrPrflGrwth>	[0..1]	CodeSet		299
	ReturnProfileIncome <RtrPrflIncm>	[0..1]	CodeSet		300
	ReturnProfileHedging <RtrPrflHdgg>	[0..1]	CodeSet		300
	OptionOrLeveragedReturnProfile <OptnOrLvrgdRtrPrfl>	[0..1]	CodeSet		300
	ReturnProfilePensionSchemeGermany <RtrPrflPnsnSchmeDE>	[0..1]	CodeSet		300
	MinimumHoldingPeriod <MinHldgPrd>	[0..1]	±		301
	ESGPreferences <ESGPrefs>	[0..1]	CodeSet		301
	SustainabilityPreferences <SstnblyPrefs>	[0..1]	CodeSet		301
	OtherSpecificInvestmentNeed <OthrSpfcInvstmtNeed>	[0..1]	±		302
	Other <Othr>	[0..*]	±		302

16.4.5.22.6.1 ReturnProfilePreservation <RtrPrflPrsrvtn>

Presence: [0..1]

Definition: Specifies whether the product is compatible with a client who is looking for the preservation of capital. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05010.

Datatype: TargetMarket1Code on page 3359

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.6.2 ReturnProfileGrowth <RtrPrflGrwth>

Presence: [0..1]

Definition: Specifies whether the product is compatible with a client looking for capitalisation growth. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05020.

Datatype: TargetMarket1Code on page 3359

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.6.3 ReturnProfileIncome <RtrPrflIncm>

Presence: [0..1]

Definition: Specifies whether the product is compatible with a client who is looking for income. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05030.

Datatype: [TargetMarket1Code on page 3359](#)

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.6.4 ReturnProfileHedging <RtrPrflHdgg>

Presence: [0..1]

Definition: Level of compatibility of the investor risk profile with the hedging profile of a structured security product.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05040.

Datatype: [TargetMarket1Code on page 3359](#)

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.6.5 OptionOrLeveragedReturnProfile <OptnOrLvrgdRtrPrfl>

Presence: [0..1]

Definition: Level of compatibility of the investor risk profile with the option or leveraged return profile of a structured security product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05050.

Datatype: [TargetMarket1Code on page 3359](#)

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.6.6 ReturnProfilePensionSchemeGermany <RtrPrflPnsnSchmeDE>

Presence: [0..1]

Definition: Level of compatibility of the investor risk profile with the Return Profile Pension Scheme Germany profile of the product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05070.

Datatype: [TargetMarket1Code on page 3359](#)

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

16.4.5.22.6.7 MinimumHoldingPeriod <MinHldgPrd>

Presence: [0..1]

Definition: Minimum recommended holding period (RHP).

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05080.

MinimumHoldingPeriod <MinHldgPrd> contains one of the following elements (see [TimeHorizon2Choice](#) on page 1830 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NumberOfYears <NbOfYrs>	[1..1]	Quantity		1830
Or}	TimeFrame <TmFrame>	[1..1]			1831
{Or	Code <Cd>	[1..1]	CodeSet		1831
Or}	Proprietary <Prtry>	[1..1]	±		1831

16.4.5.22.6.8 ESGPreferences <ESGPrefs>

Presence: [0..1]

Definition: Specifies whether the product is compatible with investors that have Environmental, Social and Governance (ESG) preferences. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05105.

Datatype: [TargetMarket2Code](#) on page 3359

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.
YSCO	InScope	Yes, is applicable.

16.4.5.22.6.9 SustainabilityPreferences <SstnblyPrefs>

Presence: [0..1]

Definition: Specifies whether the product is compatible with investors that have sustainability preferences. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT V3.1) reference 05105.

Datatype: [SustainabilityPreferences1Code](#) on page 3359

CodeName	Name	Definition
CESG	ESGPreference	Preference for products having environmental, social and corporate governance (ESG) characteristics.
NEUT	Neutral	Neutral or has no impact.

CodeName	Name	Definition
OSUS	SustainablePreference	Preference for products having sustainable objectives.

16.4.5.22.6.10 OtherSpecificInvestmentNeed <OthrSpfcInvstmtNeed>

Presence: [0..1]

Definition: Specifies other specific investment needs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05115.

OtherSpecificInvestmentNeed <OthrSpfcInvstmtNeed> contains one of the following elements (see [InvestmentNeed2Choice](#) on page 2223 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2224
Or}	Proprietary <Prtry>	[1..1]	±		2224

16.4.5.22.6.11 Other <Othr>

Presence: [0..*]

Definition: Other investment need.

Other <Othr> contains the following elements (see [OtherInvestmentNeed1](#) on page 2262 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClientObjectivesAndNeedsType <ClntObjctvsAndNeedsTp>	[0..1]	Text		2263
	Target <Trgt>	[0..1]			2263
{Or	Code <Cd>	[1..1]	CodeSet		2263
Or}	Proprietary <Prtry>	[1..1]	±		2263
	AdditionalInformation <AddtlInf>	[0..1]	±		2263

16.4.5.22.7 Other <Othr>

Presence: [0..*]

Definition: Other target market parameter.

Other <Othr> contains the following elements (see [OtherTargetMarket1](#) on page 2276 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetMarketType <TrgtMktTp>	[1..1]	Text		2276
	AdditionalInformation <AddtlInf>	[0..1]	±		2276

16.4.5.23 DistributionStrategy <DstrbtnStrtgy>

Presence: [0..1]

Definition: Distribution strategy criteria.

DistributionStrategy <DstrbtnStrtgy> contains the following elements (see [DistributionStrategy1](#) on page 2274 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExecutionOnly <ExctnOnly>	[0..1]	±		2274
	ExecutionWithAppropriatenessTestOrNonAdvisedServices <ExctnWithApprprthnssTstOrNonAdvsdSvcs>	[0..1]	±		2275
	InvestmentAdvice <InvstmtAdvvc>	[0..1]	±		2275
	PortfolioManagement <PrflMgmt>	[0..1]	±		2275
	Other <Othr>	[0..1]	±		2276

16.4.5.24 CostsAndCharges <CostsAndChrgs>

Presence: [0..2]

Definition: Costs and charges associated with the distribution of selling of the financial instrument. These may be one-off or recurring. These may be ex ante (intended) or post ante (actual).

Impacted by: [C15 ExAnteReferenceDateGuideline](#), [C18 IndividualCostAndCharge1Guideline](#)

CostsAndCharges <CostsAndChrgs> contains the following elements (see [CostsAndCharges2](#) on page 1742 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExAnteReferenceDate <ExAnteRefDt>	[0..1]	Date		1744
	IndividualCostOrCharge <IndvCostOrChrg>	[1..*]		C13, C14, C27, C28	1744
	CostType <CostTp>	[1..1]			1745
{Or	Code <Cd>	[1..1]	CodeSet		1745
Or}	Proprietary <Prtry>	[1..1]	±		1751
	ExAnteOrExPost <ExAnteOrExPst>	[1..1]	CodeSet		1751
	Amount <Amt>	[0..1]	Amount	C2	1751
	Sign <Sgn>	[0..1]	Indicator		1752
	Rate <Rate>	[0..1]	Rate		1752
	ReferencePeriod <RefPrd>	[0..1]			1752
	StartDate <StartDt>	[1..1]	Date		1752
	EndDate <EndDt>	[1..1]	Date		1752
	AdditionalInformation <AddtlInf>	[0..1]	±		1752
	AdditionalInformation <AddtlInf>	[0..1]	±		1753

Constraints

- **ExAnteReferenceDateGuideline**

(Rule)

The ex-ante reference date should not be confused with the reporting date as specified in the European MiFID Template (EMT) reference 00050.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **IndividualCostAndCharge1Guideline**

(Rule)

If ExAnteReferenceDate is present, then all repetitions of IndividualCostOrCharge must specify Ex Ante costs

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

16.4.5.25 AdditionalProductInformationGermanMarket <AddtIPdctInfGrmnMkt>

Presence: [0..1]

Definition: Additional information required for distribution in the German market.

AdditionalProductInformationGermanMarket <AddtIPdctInfGrmnMkt> contains the following **AdditionalProductInformation1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ESGCategoryGermanFundMarket <ESGctgyGrmnFndMkt>	[0..1]	CodeSet		304
	ESGCategoryGermanStructuredSecuritiesMarket <ESGctgyGrmnStrdScitiesMkt>	[0..1]	CodeSet		305
	ESGFocus <ESGFcs>	[0..1]	CodeSet		305
	ESGLabelOrStandard <ESGLablOrStd>	[0..*]	CodeSet		306

16.4.5.25.1 ESGCategoryGermanFundMarket <ESGctgyGrmnFndMkt>

Presence: [0..1]

Definition: Category of fund product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT V3.1) reference 09000.

Datatype: [ESGCategoryGermanFundMarket1Code](#) on page 3273

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.

CodeName	Name	Definition
IMPF	Impact	Product with impact-related investment (pursuant to Article 9 Disclosure Regulation): - No serious breach of the United Nations Global Compact (UNGC); - Relevant for both individual products and those in a portfolio/basket (shares/ bonds); - Product manager follows a recognised industry standard (UN PRI).
ESGF	ESGStrategy	Product with a dedicated environmental, social and corporate governance (ESG) strategy (pursuant to Article 8 Disclosure Regulation).
BASF	BasicCategory	Product having environmental, social and corporate governance (ESG) characteristics, opportunities or risks according to the "ESG integration enhanced" criteria. Product integration approach is disclosed and the product manager follows a recognised industry standard (UN PRI).

16.4.5.25.2 ESGCategoryGermanStructuredSecuritiesMarket <ESGCtgyGrmnStrdScitiesMkt>

Presence: [0..1]

Definition: Category of structured securities product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT V3.1) reference 09000.

Datatype: [ESGCategoryGermanStructuredSecuritiesMarket1Code](#) on page 3273

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.
IMPS	ImpactSS	Impact-related bond according to recognised market standards (for example, Green/Social Bond Principles, EU Green Bond Standards).
ESGS	ESGStrategySS	Product manufacturer attains at least with one rating agency the status of a sustainable company.
BASS	BasicCategorySS	Product manufacturer follows environmental, social and corporate governance (ESG) product and transparency standard.

16.4.5.25.3 ESGFocus <ESGFcs>

Presence: [0..1]

Definition: Specifies if the focus will be Environmental, Social or Governance. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT V3.1) reference 09010.

Datatype: ESGFocus1Code on page 3274

CodeName	Name	Definition
ENVR	Environmental	Main focus will be environmental.
GOVR	Governance	Main focus will be governance.
SOCL	Social	Main focus will be social.

16.4.5.25.4 ESGLabelOrStandard <ESGLabIOrStd>

Presence: [0..*]

Definition: ESG label or standard of a product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT V3.1) reference 09020.

Datatype: ESGLabelOrStandard1Code on page 3274

CodeName	Name	Definition
E005	CBIClimateBonds	Climate Bonds Initiative (CBI) Climate Bonds Standard.
C003	EUEcolabel	EU Ecolabel for financial products.
B002	EUGreenBond	EU Green Bond Standard.
L012	FebelfinTowardsSustainability	Febelfin Towards Sustainability label.
D004	FNGSiegel	FNG-Siegel.
O015	GreenfinLabel	Greenfin label.
A001	ICMAGreenBond	International Capital Markets Association (ICMA) Green Bond Principles.
F006	ICMASocialBonds	International Capital Markets Association (ICMA) Social Bonds Principles.
K011	ISR	Label "Investissement Socialement Responsable" (ISR).
J010	KeinVerstoßGegenAtomwaffensperrvertrag	Kein Verstoss gegen Atomwaffensperrvertrag.
H008	LuxFLAGClimate	LuxFLAG climate finance label.
I009	LuxFLAGEnvironment	LuxFLAG environment label.
G007	LuxFLAGESG	LuxFLAG ESG label.
N014	NordicSwan	Nordic Swan Ecolabel.
M013	UZ49	UZ49 - das Oesterreichische Umweltzeichen.

16.4.5.26 AdditionalProductInformationFrenchMarket <AddtIPdctInfFrnchMkt>

Presence: [0..1]

Definition: Additional information required for distribution in the French market.

AdditionalProductInformationFrenchMarket <AddtlPductInfFrnchMkt> contains the following **AdditionalProductInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AMFDoctrine <AMFDctrn>	[0..1]	CodeSet		307

16.4.5.26.1 AMFDoctrine <AMFDctrn>

Presence: [0..1]

Definition: Approach of the Autorite des Marches Financiers (AMF) recommendation 2020-03 to which the fund complies. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT V3.1) reference 01020.

Datatype: [AMFDoctrine1Code](#) on page 3247

CodeName	Name	Definition
AMF1	SignificantlyEngagingMethodology	Approach based on a significantly engaging methodology.
AMF3	NotMeetingCentralCommunicationStandards	Approach not meeting central communication standards or based on limited communication standards.
AMF2	NonSignificantlyEngagingMethodology	Approach based on a non-significantly engaging methodology.

16.4.5.27 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C16 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

17 **MX reda.005.001.03**

InvestmentFundReportRequestV03

17.1 **MessageDefinition Functionality**

Scope

The InvestmentFundReportRequest message is sent by a report user, for example, a professional investor, investment fund distributor, market data provider, regulator or other interested party to the report provider, for example, a fund promoter, fund management company, transfer agent, or market data provider to request a report.

The Investment Fund Report Request message can be used to request one or many fund reference data report messages.

Usage

If the InvestmentFundReportRequest message is used to request a fund reference data report then the request can specify the financial instrument for which the report is requested. Other appropriate parameters can also be included. It is also possible to indicate that the request is an open request, that is, there is no specific criteria for the report requested. For example, a request for a fund reference data report that is specified as "no criteria" means that the request is a request for a reference data report messages for all funds.

Outline

The InvestmentFundReportRequestV03 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. **MessageIdentification**

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

B. **PreviousReference**

Reference to a linked message that was previously sent.

C. **RelatedReference**

Reference to a linked message that was previously received.

D. **ReportRequest**

Parameters for which the report is requested.

17.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <InvstmtFndRptReq>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		311
	PreviousReference <PrvsRef>	[0..1]	±		311
	RelatedReference <RltdRef>	[0..1]	±		311
	ReportRequest <RptReq>	[1..*]		C8	312
{Or	NoCriteria <NoCrit>	[1..1]	CodeSet		313
Or}	Parameters <Params>	[1..1]			313
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±		313
	FundManagementCompany <FndMgmtCpny>	[0..*]	±		314
	DateFrom <DtFr>	[0..1]	Date		314
	CountryOfDomicile <CtryOfDmcl>	[0..1]	CodeSet	C2	314
	RegisteredDistributionCountry <RegdDstrbtnCtry>	[0..*]	CodeSet	C2	315

17.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C3 DescriptionPresenceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00192
- *Error Text:* At least one identification must be present.

C4 DescriptionUsageRule

(Rule)

Description must be used alone as the last resort.

C5 ISINGuideline

(Rule)

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

C6 ISINPresenceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00194
- *Error Text:* At least one identification must be present.

C7 OtherIdentificationPresenceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00193
- *Error Text:* At least one identification must be present.

C8 ReportParameterRule1

(Rule)

If Parameters is present, at least one element in the list (Parameters/
 FundManagementCompany, Parameters/FinancialInstrumentDetails, Parameters/DateFrom)
 must be present. More than one element in the list (Parameters/FundManagementCompany,
 Parameters/FinancialInstrumentDetails, Parameters/DateFrom) may be
 present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00157
- *Error Text:* At least one element must be present.

17.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

17.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

17.4.2 PreviousReference <PrvsRef>

Presence: [0..1]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

17.4.3 RelatedReference <RltdRef>

Presence: [0..1]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

17.4.4 ReportRequest <RptReq>

Presence: [1..*]

Definition: Parameters for which the report is requested.

Impacted by: [C8 ReportParameterRule1](#)

ReportRequest <RptReq> contains one of the following **FundParameters4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoCriteria <NoCrit>	[1..1]	CodeSet		313
Or}	Parameters <Params>	[1..1]			313
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±		313
	FundManagementCompany <FndMgmtCpny>	[0..*]	±		314
	DateFrom <DtFr>	[0..1]	Date		314
	CountryOfDomicile <CtryOfDmcl>	[0..1]	CodeSet	C2	314
	RegisteredDistributionCountry <RegdDstrbtnCtry>	[0..*]	CodeSet	C2	315

Constraints

- **ReportParameterRule1**

(Rule)

If Parameters is present, at least one element in the list (Parameters/FundManagementCompany, Parameters/FinancialInstrumentDetails, Parameters/DateFrom) must be present. More than one element in the list (Parameters/FundManagementCompany, Parameters/FinancialInstrumentDetails, Parameters/DateFrom) may be present.

On Condition

/Parameters is present

Following Must be True

/Parameters/FinancialInstrumentDetails[*] Must be present

Or /Parameters/FundManagementCompany[*] Must be present

Or /Parameters/DateFrom Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00157

– *Error Text:* At least one element must be present.

17.4.4.1 NoCriteria <NoCrit>

Presence: [1..1]

Definition: Specifies that there is no criteria for the report. The request is a request for all reports, rather than reports attributed to a specific fund manager, date or financial instrument.

Datatype: [NoCriteria1Code](#) on page 3316

CodeName	Name	Definition
NOCR	NoCriteria	No criteria.

17.4.4.2 Parameters <Params>

Presence: [1..1]

Definition: Report parameters.

Parameters <Params> contains the following **FundParameters5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±		313
	FundManagementCompany <FndMgmtCpny>	[0..*]	±		314
	DateFrom <DtFr>	[0..1]	Date		314
	CountryOfDomicile <CtryOfDmcl>	[0..1]	CodeSet	C2	314
	RegisteredDistributionCountry <RegdDstrbtnCtry>	[0..*]	CodeSet	C2	315

17.4.4.2.1 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..*]

Definition: Financial instrument for which the report is requested.

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument71](#) on page 1886 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±	C3, C4, C5, C6, C7	1886
	ShortName <ShrtNm>	[0..1]	Text		1888
	Name <Nm>	[0..1]	Text		1888
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1888
	ClassType <ClsTp>	[0..1]	Text		1888
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1889
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1889
	ProductGroup <PdctGrp>	[0..1]	Text		1889

17.4.4.2.2 FundManagementCompany <FndMgmtCpny>

Presence: [0..*]

Definition: Fund management company for which the report is requested.

FundManagementCompany <FndMgmtCpny> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

17.4.4.2.3 DateFrom <DtFr>

Presence: [0..1]

Definition: Specifies the date on or after which the information required will have been last updated. Only the most recent versions of the data is required.

Datatype: [ISODate](#) on page 3391

17.4.4.2.4 CountryOfDomicile <CtryOfDmcl>

Presence: [0..1]

Definition: Country where the fund has legal domicile.

Impacted by: [C2 Country](#)

Datatype: [CountryCode](#) on page 3267

Constraints

- **Country**
(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

17.4.4.2.5 RegisteredDistributionCountry <RegdDstrbtnCtry>

Presence: [0..*]

Definition: Country where the fund is registered for distribution.

Impacted by: C2 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

18 **MX semt.001.001.03**

SecuritiesMessageRejectionV03

18.1 **MessageDefinition Functionality**

Scope

An account servicer, for example, a registrar, transfer agent or custodian bank, sends the SecuritiesMessageRejection message to the account owner, for example, an investor or its authorised agent, to reject a previously received message on which action cannot be taken.

The message may also be sent by an executing party, for example, transfer agent to the instructing party, for example, investment manager or its authorised representative to reject a previously received message on which action cannot be taken.

Usage

The SecuritiesMessageRejection message is used for the following reasons:

- the executing party does not recognise the linked reference, so the executing party cannot process the message
- the instructing party should not have sent the message.

Reasons that a receiver does not expect a message include no SLA in place between the Sender and the Receiver.

The SecuritiesMessageRejection message must not be used to reject an instruction message that cannot be processed for business reasons, for example, if information is missing in an instruction message or because securities are not available for settlement.

Outline

The SecuritiesMessageRejectionV03 MessageDefinition is composed of 3 MessageBuildingBlocks:

A. **MessageIdentification**

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

B. **RelatedReference**

Reference to a linked message that was previously received.

C. **Reason**

Reason to reject the message.

18.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ScitiesMsgRjctn>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		318
	RelatedReference <RltdRef>	[1..1]	±		318
	Reason <Rsn>	[1..1]			318
	Reason <Rsn>	[1..1]	CodeSet		318
	AdditionalInformation <AddtlInf>	[0..1]	Text		319
	LinkedMessage <LkdMsg>	[0..1]	±		319

18.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

18.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

18.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

18.4.2 RelatedReference <RltdRef>

Presence: [1..1]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

18.4.3 Reason <Rsn>

Presence: [1..1]

Definition: Reason to reject the message.

Reason <Rsn> contains the following **RejectionReason23** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]	CodeSet		318
	AdditionalInformation <AddtlInf>	[0..1]	Text		319
	LinkedMessage <LkdMsg>	[0..1]	±		319

18.4.3.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason to reject the message.

Datatype: [MessageRejectedReason1Code](#) on page 3314

CodeName	Name	Definition
REFE	InvalidOrUnrecognisedReference	Request contains an invalid or unrecognised business reference.

CodeName	Name	Definition
NALO	NotAllowedRequest	Instructing party is not allowed to ask for a status for that specific order.

18.4.3.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the rejection reason.

Datatype: [Max140Text on page 3407](#)

18.4.3.3 LinkedMessage <LkdMsg>

Presence: [0..1]

Definition: Identification of the invalid or unrecognised reference.

LinkedMessage <LkdMsg> contains one of the following elements (see [LinkedMessage1Choice on page 2380](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..1]	±		2380
Or	OtherReference <OthrRef>	[1..1]	±		2381
Or}	RelatedReference <RltdRef>	[1..1]	±		2381

19 MX semt.002.001.02 CustodyStatementOfHoldingsV02

19.1 MessageDefinition Functionality

Scope

An account servicer, for example, a transfer agent sends the CustodyStatementOfHoldings message to the account owner, for example, a fund manager or an account owner's designated agent to provide detailed holdings of the portfolio at a specified moment in time.

The message provides, at a moment in time, the quantity and identification of the financial instruments that the account servicer holds for the account owner. The message can also include availability and the location of holdings to facilitate trading and minimise settlement issues.

The message reports all information per financial instrument, ie, when a financial instrument is held at multiple places of safekeeping, the total holdings for all locations can be provided.

Usage

The CustodyStatementOfHoldings message is used to provide detailed quantity and availability information for financial instrument holdings of a portfolio. The message should be sent at a frequency agreed bi-laterally between the account servicer and the account owner.

This message can be also be used to report where the financial instruments are safe-kept, physically or notionally. If a security is held in more than one safekeeping place, this can also be indicated.

This message can reflect all outstanding holding information or may only contain changes since the previously sent statement.

The CustodyStatementOfHoldings message can only be used to list the holdings of a single (master) account. However, it is possible to break down these holdings into one or several sub-accounts. Therefore, this message can be used to either specify holdings at

- the main account level, or,
- the sub-account level.

Outline

The CustodyStatementOfHoldingsV02 MessageDefinition is composed of 10 MessageBuildingBlocks:

A. MessageIdentification

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

B. PreviousReference

Reference to a linked message that was previously sent.

C. RelatedReference

Reference to a linked message that was previously received.

D. MessagePagination

Pagination of the message.

E. StatementGeneralDetails

General information related to the custody statement of holdings.

F. AccountDetails

The safekeeping or investment account.

G. BalanceForAccount

Net position of a segregated holding, in a single security, within the overall position held in a securities account.

H. SubAccountDetails

The sub-account of the safekeeping or investment account.

I. TotalValues

Value of total holdings reported.

J. Extension

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

19.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CtdyStmntOfHldgsV02>	[1..1]		C9	
	MessageIdentification <MsgId>	[1..1]	±		325
	PreviousReference <PrvsRef>	[0..*]	±		325
	RelatedReference <RltdRef>	[0..*]	±		326
	MessagePagination <MsgPgntn>	[1..1]	±		326
	StatementGeneralDetails <StmntGnlDtls>	[1..1]			326
	Reference <Ref>	[1..1]	Text		327
	StatementDateTime <StmntDtTm>	[1..1]	±		327
	CreationDateTime <CreDtTm>	[0..1]	±		327
	Frequency <Frqcy>	[1..1]	±		328
	UpdateType <UpdTp>	[1..1]	±		328
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		328
	StatementBasis <StmntBsis>	[1..1]	±		328
	ReportNumber <RptNb>	[0..1]	Text		328
	AccountDetails <AcctDtls>	[1..1]	±		329
	BalanceForAccount <BalForAcct>	[0..*]	±	C1, C8, C5	329
	SubAccountDetails <SubAcctDtls>	[0..*]	±		331
	TotalValues <TtlVals>	[0..1]	±		331
	Extension <Xtnsn>	[0..*]	±	C13	332

19.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccruedInterestAmountSignRule

(Rule)

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

C2 AccruedInterestAmountSignRule

(Rule)

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

C3 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AggregateQuantityGuideline

(Guideline)

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

C6 AggregateQuantityGuideline

(Guideline)

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

C7 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C8 BalanceAtSafekeepingPlaceRule

(Rule)

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

C9 BalanceForAccountOrSubAccountDetailsRule

(Rule)

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

This constraint is defined at the MessageDefinition level.

C10 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C11 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C12 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C13 ExtensionRule

(Rule)

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

C14 FinancialInstrumentIdentificationGuideline

(Guideline)

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

C15 Party1Rule

(Rule)

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

C16 StreetNameAndOrPostOfficeBoxRule

(Rule)

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

C17 ValueRule

(Rule)

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

19.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

19.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

19.4.2 PreviousReference <PrvsRef>

Presence: [0..*]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference2](#) on page 1998 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1998
	Referencelssuer <RefIssr>	[0..1]	±		1998
	MessageName <MsgNm>	[0..1]	Text		1999

19.4.3 RelatedReference <RltdRef>

Presence: [0..*]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference2](#) on page 1998 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1998
	Referencelssuer <RefIssr>	[0..1]	±		1998
	MessageName <MsgNm>	[0..1]	Text		1999

19.4.4 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

19.4.5 StatementGeneralDetails <StmntGnIDtls>

Presence: [1..1]

Definition: General information related to the custody statement of holdings.

StatementGeneralDetails <StmntGnlDtls> contains the following **Statement7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		327
	StatementDateTime <StmntDtTm>	[1..1]	±		327
	CreationDateTime <CreDtTm>	[0..1]	±		327
	Frequency <Frqcy>	[1..1]	±		328
	UpdateType <UpdTp>	[1..1]	±		328
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		328
	StatementBasis <StmntBsis>	[1..1]	±		328
	ReportNumber <RptNb>	[0..1]	Text		328

19.4.5.1 Reference <Ref>

Presence: [1..1]

Definition: Reference of the statement.

Datatype: Max35Text on page 3409

19.4.5.2 StatementDateTime <StmntDtTm>

Presence: [1..1]

Definition: Date of the statement.

StatementDateTime <StmntDtTm> contains one of the following elements (see DateAndDateTimeChoice on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

19.4.5.3 CreationDateTime <CreDtTm>

Presence: [0..1]

Definition: Preparation date of the statement.

CreationDateTime <CreDtTm> contains one of the following elements (see DateAndDateTimeChoice on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

19.4.5.4 Frequency <Frqcy>

Presence: [1..1]

Definition: Frequency of the statement.

Frequency <Frqcy> contains one of the following elements (see [FrequencyCodeAndDSSCode1Choice](#) on page 2897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2897
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2898

19.4.5.5 UpdateType <UpdTp>

Presence: [1..1]

Definition: Indicates whether the report is complete or contains changes only.

UpdateType <UpdTp> contains one of the following elements (see [StatementUpdateTypeCodeAndDSSCodeChoice](#) on page 2960 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmtUpdTpAsCd>	[1..1]	CodeSet		2960
Or}	StatementUpdateTypeAsDSS <StmtUpdTpAsDSS>	[1..1]	±		2961

19.4.5.6 ActivityIndicator <ActvtyInd>

Presence: [1..1]

Definition: Indicates whether there is activity or information update reported in the statement.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

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

19.4.5.7 StatementBasis <StmtBsis>

Presence: [1..1]

Definition: Type of balance on which the statement is prepared.

StatementBasis <StmtBsis> contains one of the following elements (see [StatementBasisCodeAndDSSCodeChoice](#) on page 2959 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmtBsisAsCd>	[1..1]	CodeSet		2960
Or}	StatementBasisAsDSS <StmtBsisAsDSS>	[1..1]	±		2960

19.4.5.8 ReportNumber <RptNb>

Presence: [0..1]

Definition: Sequential number of the statement.

Datatype: Max5NumericText on page 3410

19.4.6 AccountDetails <AcctDtls>

Presence: [1..1]

Definition: The safekeeping or investment account.

AccountDetails <AcctDtls> contains the following elements (see SafekeepingAccount2 on page 2026 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2026
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		2027
	Name <Nm>	[0..1]	Text		2027
	Designation <Dsgnt>	[0..1]	Text		2027
	IntermediaryInformation <IntrmyInf>	[0..10]	±		2027
	AccountOwner <AcctOwnr>	[0..1]	±		2028
	AccountServicer <AcctSvcr>	[0..1]	±		2028

19.4.7 BalanceForAccount <BalForAcct>

Presence: [0..*]

Definition: Net position of a segregated holding, in a single security, within the overall position held in a securities account.

Impacted by: C1 AccruedInterestAmountSignRule, C8 BalanceAtSafekeepingPlaceRule, C5 AggregateQuantityGuideline

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateBalanceInformation4](#) on page 1660 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1662
	AvailableQuantity <AvlblQty>	[0..1]	±		1662
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1663
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1663
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1663
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1664
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1664
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1665
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1665
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1666
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1666
	PriceDetails <PricDtls>	[0..*]	±	C15	1667
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1668
	BalanceBreakdownDetails <BalBrkdwDtls>	[0..*]	±		1668
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>	[0..*]	±		1668
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]		C2, C6	1669
	AggregateQuantity <AggtQty>	[1..1]	±		1670
	AvailableQuantity <AvlblQty>	[0..1]	±		1670
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1670
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1670
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1671
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1671
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1672
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1673
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1673
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1674

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceDetails <PricDtls>	[0..*]	±	C15	1674
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1675
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1675
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1675

Constraints

- **AccruedInterestAmountSignRule**

(Rule)

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **AggregateQuantityGuideline**

(Guideline)

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

- **BalanceAtSafekeepingPlaceRule**

(Rule)

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

19.4.8 SubAccountDetails <SubAcctDtls>

Presence: [0..*]

Definition: The sub-account of the safekeeping or investment account.

SubAccountDetails <SubAcctDtls> contains the following elements (see [SubAccountIdentification5](#) on page 1597 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1598
	FungibleIndicator <FngbInd>	[1..1]	Indicator		1598
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1598
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C8, C5	1598

19.4.9 TotalValues <TtIVals>

Presence: [0..1]

Definition: Value of total holdings reported.

TotalValues <TtlVals> contains the following elements (see [TotalValueInPageAndStatement](#) on page 1650 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtlHldgsValOfPg>	[0..1]	Amount	C2, C10	1650
	TotalHoldingsValueOfStatement <TtlHldgsValOfStmnt>	[1..1]	Amount	C2, C10	1651

19.4.10 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C13 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

20 **MX semt.003.001.02** **AccountingStatementOfHoldingsV02**

20.1 **MessageDefinition Functionality**

Scope

An account servicer, for example, a transfer agent sends the AccountingStatementOfHoldings message to the account owner, for example, a fund manager or an account owner's designated agent to provide detailed holdings of the portfolio at a specified moment in time.

The message provides, at a moment in time, valuations of the portfolio together with details of each financial instrument holding.

The message can be sent either audited or un-audited and may be provided on a trade date or settlement date basis.

Usage

The AccountingStatementOfHoldings message is used to provide valuation detail for each financial instrument held in a portfolio. The message should be sent at a frequency agreed bi-laterally between the account servicer and the account owner.

This message can only be used to list the holdings of a single (master) account. However, it is possible to break down these holdings into one or several sub-accounts. Therefore, the message can be used to either specify holdings at

- the main account level, or,
- the sub-account level.

This message can be used to report where the financial instruments are safe-kept, physically or notionally. If a security is held in more than one safekeeping place, this can also be indicated.

The AccountingStatementOfHoldings message should not be used for trading purposes.

Outline

The AccountingStatementOfHoldingsV02 MessageDefinition is composed of 10 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies a message from a business application standpoint.
- B. PreviousReference
Reference to a linked message that was previously sent.
- C. RelatedReference
Reference to a linked message that was previously received.
- D. MessagePagination
Pagination of the message.

E. StatementGeneralDetails

General information related to the accounting statement of holdings.

F. AccountDetails

The safekeeping or investment account.

G. BalanceForAccount

Net position of a segregated holding, in a single security, within the overall position held in a securities account.

H. SubAccountDetails

The sub-account of the safekeeping or investment account.

I. TotalValues

Value of total holdings reported.

J. Extension

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

20.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctgStmntOfHldgsV02>	[1..1]		C7	
	MessageIdentification <MsgId>	[1..1]	±		338
	PreviousReference <PrvsRef>	[0..*]	±		338
	RelatedReference <RltdRef>	[0..*]	±		338
	MessagePagination <MsgPgntn>	[1..1]	±		339
	StatementGeneralDetails <StmntGnlDtls>	[1..1]			339
	Reference <Ref>	[1..1]	Text		339
	StatementDateTime <StmntDtTm>	[1..1]	±		340
	CreationDateTime <CreDtTm>	[0..1]	±		340
	Frequency <Frqcy>	[1..1]	±		340
	UpdateType <UpdTp>	[1..1]	±		340
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		341
	StatementBasis <StmntBsis>	[1..1]	±		341
	ReportNumber <RptNb>	[0..1]	Text		341
	AuditedIndicator <AudtdInd>	[1..1]	Indicator		341
	AccountDetails <AcctDtls>	[1..1]	±		341
	BalanceForAccount <BalForAcct>	[0..*]	±	C1, C6	342
	SubAccountDetails <SubAcctDtls>	[0..*]	±		343
	TotalValues <TtlVals>	[0..1]	±		344
	Extension <Xtnsn>	[0..*]	±	C11	344

20.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccruedInterestAmountSignRule

(Rule)

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

C2 AccruedInterestAmountSignRule

(Rule)

If `AccruedInterestAmount` is present, then `AccruedInterestAmountSign` must be present. If `AccruedInterestAmount` is not present, then `AccruedInterestAmountSign` may not be present.

C3 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 BalanceAtSafekeepingPlaceRule

(Rule)

If `SafekeepingPlace` is present, then `BalanceAtSafekeepingPlace` is not allowed.

C7 BalanceForAccountOrSubAccountDetailsRule

(Rule)

If `StatementGeneralDetails/ActivityIndicator` is "true" or "1" (Yes), then either `BalanceForAccount` or `SubAccountDetails` is mandatory. If `StatementGeneralDetails/`

ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

This constraint is defined at the MessageDefinition level.

C8 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C10 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 ExtensionRule

(Rule)

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

C12 FinancialInstrumentIdentificationGuideline

(Guideline)

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

C13 Party1Rule

(Rule)

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

C14 StreetNameAndOrPostOfficeBoxRule

(Rule)

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

C15 ValueRule

(Rule)

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

20.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

20.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

20.4.2 PreviousReference <PrvsRef>

Presence: [0..*]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference2](#) on page 1998 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1998
	ReferenceIssuer <RefIssr>	[0..1]	±		1998
	MessageName <MsgNm>	[0..1]	Text		1999

20.4.3 RelatedReference <RltdRef>

Presence: [0..*]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference2](#) on page 1998 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1998
	Referencelssuer <RefIssr>	[0..1]	±		1998
	MessageName <MsgNm>	[0..1]	Text		1999

20.4.4 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

20.4.5 StatementGeneralDetails <StmtGnIDtls>

Presence: [1..1]

Definition: General information related to the accounting statement of holdings.

StatementGeneralDetails <StmtGnIDtls> contains the following **Statement6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		339
	StatementDateTime <StmtDtTm>	[1..1]	±		340
	CreationDateTime <CreDtTm>	[0..1]	±		340
	Frequency <Frqcy>	[1..1]	±		340
	UpdateType <UpdTp>	[1..1]	±		340
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		341
	StatementBasis <StmtBsis>	[1..1]	±		341
	ReportNumber <RptNb>	[0..1]	Text		341
	AuditedIndicator <AudtdInd>	[1..1]	Indicator		341

20.4.5.1 Reference <Ref>

Presence: [1..1]

Definition: Reference of the statement.

Datatype: [Max35Text on page 3409](#)

20.4.5.2 StatementDateTime <StmtdtTm>

Presence: [1..1]

Definition: Date of the statement.

StatementDateTime <StmtdtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

20.4.5.3 CreationDateTime <CreDtTm>

Presence: [0..1]

Definition: Preparation date of the statement.

CreationDateTime <CreDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

20.4.5.4 Frequency <Frqcy>

Presence: [1..1]

Definition: Frequency of the statement.

Frequency <Frqcy> contains one of the following elements (see [FrequencyCodeAndDSSCode1Choice on page 2897](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2897
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2898

20.4.5.5 UpdateType <UpdTp>

Presence: [1..1]

Definition: Indicates whether the report is complete or contains changes only.

UpdateType <UpdTp> contains one of the following elements (see [StatementUpdateTypeCodeAndDSSCodeChoice](#) on page 2960 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmtUpdTpAsCd>	[1..1]	CodeSet		2960
Or}	StatementUpdateTypeAsDSS <StmtUpdTpAsDSS>	[1..1]	±		2961

20.4.5.6 ActivityIndicator <ActvtyInd>

Presence: [1..1]

Definition: Indicates whether there is activity or information update reported in the statement.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

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

20.4.5.7 StatementBasis <StmntBsis>

Presence: [1..1]

Definition: Type of balance on which the statement is prepared.

StatementBasis <StmntBsis> contains one of the following elements (see [StatementBasisCodeAndDSSCodeChoice](#) on page 2959 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmntBsisAsCd>	[1..1]	CodeSet		2960
Or}	StatementBasisAsDSS <StmntBsisAsDSS>	[1..1]	±		2960

20.4.5.8 ReportNumber <RptNb>

Presence: [0..1]

Definition: Sequential number of the statement.

Datatype: [Max5NumericText](#) on page 3410

20.4.5.9 AuditedIndicator <AudtdInd>

Presence: [1..1]

Definition: Indicates whether the statement is audited.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

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

20.4.6 AccountDetails <AcctDtls>

Presence: [1..1]

Definition: The safekeeping or investment account.

AccountDetails <AcctDtls> contains the following elements (see [SafekeepingAccount2](#) on page 2026 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2026
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		2027
	Name <Nm>	[0..1]	Text		2027
	Designation <Dsgnt>	[0..1]	Text		2027
	IntermediaryInformation <IntrmyInf>	[0..10]	±		2027
	AccountOwner <AcctOwnr>	[0..1]	±		2028
	AccountServicer <AcctSvcr>	[0..1]	±		2028

20.4.7 BalanceForAccount <BalForAcct>

Presence: [0..*]

Definition: Net position of a segregated holding, in a single security, within the overall position held in a securities account.

Impacted by: [C1 AccruedInterestAmountSignRule](#), [C6 BalanceAtSafekeepingPlaceRule](#)

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateBalanceInformation3](#) on page 1652 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1653
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1653
	HoldingValue <HldgVal>	[1..*]	Amount	C3, C12	1653
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1654
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1655
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1655
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1655
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1656
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1657
	PriceDetails <PricDtls>	[1..*]	±	C15	1657
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1658
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1658
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1659
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]	±	C2	1659

Constraints

- **AccruedInterestAmountSignRule**

(Rule)

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **BalanceAtSafekeepingPlaceRule**

(Rule)

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

20.4.8 SubAccountDetails <SubAcctDtls>

Presence: [0..*]

Definition: The sub-account of the safekeeping or investment account.

SubAccountDetails <SubAcctDtIs> contains the following elements (see [SubAccountIdentification3](#) on page 1595 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1595
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1596
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1596
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C6	1596

20.4.9 TotalValues <TtIVals>

Presence: [0..1]

Definition: Value of total holdings reported.

TotalValues <TtIVals> contains the following elements (see [TotalValueInPageAndStatement](#) on page 1650 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtIHldgsValOfPg>	[0..1]	Amount	C2, C10	1650
	TotalHoldingsValueOfStatement <TtIHldgsValOfStmt>	[1..1]	Amount	C2, C10	1651

20.4.10 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C11 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

21 MX semt.004.001.02 CustodyStatementOfHoldingsCancellationV02

21.1 MessageDefinition Functionality

Scope

An account servicer, for example, a transfer agent, sends the CustodyStatementOfHoldingsCancellation message to the account owner, for example, an investment manager or its authorised representative to cancel a previously sent CustodyStatementOfHoldings message.

Usage

The CustodyStatementOfHoldingsCancellation message is used to cancel a previously sent CustodyStatementOfHoldings message. This message must contain the reference of the message to be cancelled.

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

Outline

The CustodyStatementOfHoldingsCancellationV02 MessageDefinition is composed of 5 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies a message from a business application standpoint.
- B. PreviousReference
Reference to a linked message that was previously sent.
- C. RelatedReference
Reference to a linked message that was previously received.
- D. MessagePaging
Number used to sequence pages when it is not possible for data to be conveyed in a single message and the data has to be split across several pages (messages).
- E. StatementToBeCancelled
The Custody Statement of Holdings message to cancel.

21.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CtdyStrmtOfHldgsCxIV02>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		349
	PreviousReference <PrvsRef>	[0..1]	±		349
	RelatedReference <RltdRef>	[0..1]	±		349
	MessagePagination <MsgPgntn>	[1..1]	±		349
	StatementToBeCancelled <StmtToBeCanc>	[0..1]	±	C9	350

21.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 **AccruedInterestAmountSignRule**

(Rule)

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

C2 **AccruedInterestAmountSignRule**

(Rule)

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

C3 **ActiveCurrency**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 **ActiveOrHistoricCurrency**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AggregateQuantityGuideline

(Guideline)

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

C6 AggregateQuantityGuideline

(Guideline)

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

C7 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C8 BalanceAtSafekeepingPlaceRule

(Rule)

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

C9 BalanceForAccountOrSubAccountDetailsRule

(Rule)

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

C10 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004

- *Error Text:* Invalid Country Code.

C11 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C12 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C13 ExtensionRule

(Rule)

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

C14 FinancialInstrumentIdentificationGuideline

(Guideline)

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

C15 Party1Rule

(Rule)

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

C16 StreetNameAndOrPostOfficeBoxRule

(Rule)

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

C17 ValueRule

(Rule)

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

21.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

21.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

21.4.2 PreviousReference <PrvsRef>

Presence: [0..1]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference2](#) on page 1998 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1998
	ReferenceIssuer <RefIssr>	[0..1]	±		1998
	MessageName <MsgNm>	[0..1]	Text		1999

21.4.3 RelatedReference <RltdRef>

Presence: [0..1]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference2](#) on page 1998 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1998
	ReferenceIssuer <RefIssr>	[0..1]	±		1998
	MessageName <MsgNm>	[0..1]	Text		1999

21.4.4 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Number used to sequence pages when it is not possible for data to be conveyed in a single message and the data has to be split across several pages (messages).

MessagePagination <MsgPgntn> contains the following elements (see [Pagination](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

21.4.5 StatementToBeCancelled <StmtToBeCanc>

Presence: [0..1]

Definition: The Custody Statement of Holdings message to cancel.

Impacted by: [C9 BalanceForAccountOrSubAccountDetailsRule](#)

StatementToBeCancelled <StmtToBeCanc> contains the following elements (see [CustodyStatementOfHoldings2](#) on page 1643 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementGeneralDetails <StmtGnlDtls>	[0..1]			1644
	Reference <Ref>	[1..1]	Text		1645
	StatementDateTime <StmtDtTm>	[1..1]	±		1645
	CreationDateTime <CreDtTm>	[0..1]	±		1645
	Frequency <Frqcy>	[1..1]	±		1645
	UpdateType <UpdTp>	[1..1]	±		1646
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1646
	StatementBasis <StmtBsis>	[1..1]	±		1646
	ReportNumber <RptNb>	[0..1]	Text		1646
	AccountDetails <AcctDtls>	[0..1]	±		1647
	BalanceForAccount <BalForAcct>	[0..*]	±	C1, C8, C5	1647
	SubAccountDetails <SubAcctDtls>	[0..*]	±		1649
	TotalValues <TtlVals>	[0..1]	±		1649
	Extension <Xtnsn>	[0..*]	±	C16	1650

Constraints

- **BalanceForAccountOrSubAccountDetailsRule**
 (Rule)

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

22 **MX semt.005.001.02** **AccountingStatementOfHoldingsCancellation** **V02**

22.1 **MessageDefinition Functionality**

Scope

An account servicer, for example, a transfer agent, sends the AccountingStatementOfHoldingsCancellation message to the account owner, for example, a fund manager or an account owner's designated agent, to notify the cancellation of a previously sent AccountingStatementOfHoldings message.

Usage

The AccountingStatementOfHoldingsCancellation message is used to cancel a previously sent AccountingStatementOfHoldings message. This message must contain the reference of the message to be cancelled.

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

Outline

The AccountingStatementOfHoldingsCancellationV02 MessageDefinition is composed of 5 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies a message from a business application standpoint.
- B. PreviousReference
Reference to a linked message that was previously sent.
- C. RelatedReference
Reference to a linked message that was previously received.
- D. MessagePagination
Pagination of the message.
- E. StatementToBeCancelled
The Accounting Statement of Holdings message to cancel.

22.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctgStmntOfHldgsCxIV02>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		355
	PreviousReference <PrvsRef>	[0..1]	±		356
	RelatedReference <RltdRef>	[0..1]	±		356
	MessagePagination <MsgPgntn>	[1..1]	±		356
	StatementToBeCancelled <StmntToBeCanc>	[0..1]	±	C7	357

22.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 **AccruedInterestAmountSignRule**

(Rule)

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

C2 **AccruedInterestAmountSignRule**

(Rule)

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

C3 **ActiveCurrency**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 **ActiveOrHistoricCurrency**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 BalanceAtSafekeepingPlaceRule

(Rule)

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

C7 BalanceForAccountOrSubAccountDetailsRule

(Rule)

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

C8 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C10 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 ExtensionRule

(Rule)

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

C12 FinancialInstrumentIdentificationGuideline

(Guideline)

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

C13 Party1Rule

(Rule)

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

C14 StreetNameAndOrPostOfficeBoxRule

(Rule)

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

C15 ValueRule

(Rule)

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

22.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

22.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <Msgld> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

22.4.2 PreviousReference <PrvsRef>

Presence: [0..1]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference2](#) on page 1998 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1998
	ReferenceIssuer <RefIssr>	[0..1]	±		1998
	MessageName <MsgNm>	[0..1]	Text		1999

22.4.3 RelatedReference <RltdRef>

Presence: [0..1]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference2](#) on page 1998 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1998
	ReferenceIssuer <RefIssr>	[0..1]	±		1998
	MessageName <MsgNm>	[0..1]	Text		1999

22.4.4 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

22.4.5 StatementToBeCancelled <StmntToBeCanc>

Presence: [0..1]

Definition: The Accounting Statement of Holdings message to cancel.

Impacted by: [C7 BalanceForAccountOrSubAccountDetailsRule](#)

StatementToBeCancelled <StmntToBeCanc> contains the following elements (see [AccountingStatementOfHoldings2](#) on page 1638 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementGeneralDetails <StmntGnlDtls>	[0..1]			1638
	Reference <Ref>	[1..1]	Text		1639
	StatementDateTime <StmntDtTm>	[1..1]	±		1639
	CreationDateTime <CreDtTm>	[0..1]	±		1639
	Frequency <Frqcy>	[1..1]	±		1640
	UpdateType <UpdTp>	[1..1]	±		1640
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1640
	StatementBasis <StmntBsis>	[1..1]	±		1640
	ReportNumber <RptNb>	[0..1]	Text		1640
	AuditedIndicator <AudtdInd>	[1..1]	Indicator		1641
	AccountDetails <AcctDtls>	[0..1]	±		1641
	BalanceForAccount <BalForAcct>	[0..*]	±	C1, C6	1641
	SubAccountDetails <SubAcctDtls>	[0..*]	±		1642
	TotalValues <TtlVals>	[0..1]	±		1643
	Extension <Xtnsn>	[0..*]	±	C16	1643

Constraints

- **BalanceForAccountOrSubAccountDetailsRule**

(Rule)

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

23 MX semt.006.001.02 StatementOfInvestmentFundTransactionsV02

23.1 MessageDefinition Functionality

Scope

An account servicer, for example, a transfer agent sends the StatementOfInvestmentFundTransactions message to the account owner, for example, an investment manager or its authorised representative to provide detailed transactions (increases and decreases) of holdings which occurred during a specified period of time.

Usage

The StatementOfInvestmentFundTransactions message is used to list the holdings transactions of a single (master) account or several sub-accounts.

This message should be used at a frequency agreed bi-laterally between the account servicer and the account owner.

This message must not be used in place of confirmation messages.

Outline

The StatementOfInvestmentFundTransactionsV02 MessageDefinition is composed of 9 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies a message from a business application standpoint.
- B. PreviousReference
Reference to a linked message that was previously sent.
- C. RelatedReference
Reference to a linked message that was previously received.
- D. MessagePagination
Pagination of the message.
- E. StatementGeneralDetails
General information related to the investment fund statement of transactions.
- F. InvestmentAccountDetails
Information related to an investment account.
- G. TransactionOnAccount
Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.
- H. SubAccountDetails
The sub-account of the safekeeping or investment account.

I. Extension

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

23.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <StmntOfInvstmtFndTxsv02>	[1..1]		C7	
	MessageIdentification <MsgId>	[1..1]	±		363
	PreviousReference <PrvsRef>	[0..*]	±		363
	RelatedReference <RltdRef>	[0..*]	±		363
	MessagePagination <MsgPgntn>	[1..1]	±		364
	StatementGeneralDetails <StmntGnlDtls>	[1..1]			364
	Reference <Ref>	[1..1]	Text		364
	StatementPeriod <StmntPrd>	[1..1]	±		364
	CreationDateTime <CreDtTm>	[0..1]	±		365
	Frequency <Frqcy>	[0..1]	CodeSet		365
	UpdateType <UpdTp>	[1..1]	CodeSet		366
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		366
	ReportNumber <RptNb>	[0..1]	Text		366
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±		366
	TransactionOnAccount <TxOnAcct>	[0..*]			366
	Identification <Id>	[1..1]	±		367
	Name <Nm>	[0..1]	Text		368
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		368
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		368
	ClassType <ClsTp>	[0..1]	Text		368
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		368
	TransactionDetails <TxDtls>	[1..*]	±	C9, C10	368
	BalanceByPage <BalByPg>	[0..1]	±		370
	SubAccountDetails <SubAcctDtls>	[0..*]		C8	370
	Identification <Id>	[1..1]	±		371
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		371
	TransactionOnSubAccount <TxOnSubAcct>	[0..*]			372
	Identification <Id>	[1..1]	±		372
	Name <Nm>	[0..1]	Text		373
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		373

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		373
	ClassType <Clsstyp>	[0..1]	Text		374
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		374
	TransactionDetails <TxDtls>	[1..*]	±	C9, C10	374
	BalanceByPage <BalByPg>	[0..1]	±		376
	Extension <Xtnsn>	[0..*]	±	C5	376

23.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C3 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C4 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C5 ExtensionRule

(Rule)

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

C6 StreetNameAndOrPostOfficeBoxRule

(Rule)

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

C7 TransactionOnAccountOrSubAccountDetailsRule

(Rule)

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either TransactionOnAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then TransactionOnAccount and SubAccountDetails are not allowed.

This constraint is defined at the MessageDefinition level.

C8 TransactionOnSubAccountRule

(Rule)

If ActivityIndicator is "true" or "1" (Yes), then TransactionOnSubAccount must be present. If ActivityIndicator is "false" or "0" (No), then TransactionOnSubAccount is not allowed.

C9 TransactionTypeLegExecutionIdentificationRule

(Rule)

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

C10 TransactionTypeLegIdentificationRule

(Rule)

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

23.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

23.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

23.4.2 PreviousReference <PrvsRef>

Presence: [0..*]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference2](#) on page 1998 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1998
	ReferenceIssuer <RefIssr>	[0..1]	±		1998
	MessageName <MsgNm>	[0..1]	Text		1999

23.4.3 RelatedReference <RltdRef>

Presence: [0..*]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference2](#) on page 1998 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1998
	ReferenceIssuer <RefIssr>	[0..1]	±		1998
	MessageName <MsgNm>	[0..1]	Text		1999

23.4.4 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination on page 2472](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

23.4.5 StatementGeneralDetails <StmntGnIDtls>

Presence: [1..1]

Definition: General information related to the investment fund statement of transactions.

StatementGeneralDetails <StmntGnIDtls> contains the following **Statement8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		364
	StatementPeriod <StmntPrd>	[1..1]	±		364
	CreationDateTime <CreDtTm>	[0..1]	±		365
	Frequency <Frqcy>	[0..1]	CodeSet		365
	UpdateType <UpdTp>	[1..1]	CodeSet		366
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		366
	ReportNumber <RptNb>	[0..1]	Text		366

23.4.5.1 Reference <Ref>

Presence: [1..1]

Definition: Reference of the statement.

Datatype: [Max35Text on page 3409](#)

23.4.5.2 StatementPeriod <StmntPrd>

Presence: [1..1]

Definition: Period on which the statement is reporting.

StatementPeriod <Stmtprd> contains the following elements (see [DatePeriodDetails](#) on page 1823 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1823
	ToDate <ToDt>	[1..1]	Date		1823

23.4.5.3 CreationDateTime <CreDtTm>

Presence: [0..1]

Definition: Creation date of the statement.

CreationDateTime <CreDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

23.4.5.4 Frequency <Frqcy>

Presence: [0..1]

Definition: Frequency of the statement.

Datatype: [EventFrequency1Code](#) on page 3276

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

23.4.5.5 UpdateType <UpdTp>

Presence: [1..1]

Definition: Specifies if the statement is complete or only contains changes.

Datatype: [StatementUpdateTypeCode](#) on page 3358

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

23.4.5.6 ActivityIndicator <ActvtyInd>

Presence: [1..1]

Definition: Indicates whether there is activity reported in the statement.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

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

23.4.5.7 ReportNumber <RptNb>

Presence: [0..1]

Definition: Sequential number of the statement.

Datatype: [Max5NumericText](#) on page 3410

23.4.6 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [1..1]

Definition: Information related to an investment account.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount25](#) on page 2024 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2025
	Name <Nm>	[0..1]	Text		2025
	Designation <Dsgnt>	[0..1]	Text		2025
	IntermediaryInformation <IntrmyInf>	[0..10]	±		2025
	AccountServicer <AcctSvcr>	[0..1]	±		2026

23.4.7 TransactionOnAccount <TxOnAcct>

Presence: [0..*]

Definition: Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.

TransactionOnAccount <TxOnAcct> contains the following **InvestmentFundTransactionsByFund2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		367
	Name <Nm>	[0..1]	Text		368
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		368
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		368
	ClassType <ClassTp>	[0..1]	Text		368
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		368
	TransactionDetails <TxDtls>	[1..*]	±	C9, C10	368
	BalanceByPage <BalByPg>	[0..1]	±		370

23.4.7.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security by an ISIN.

Identification <Id> contains one of the following elements (see [SecurityIdentification3Choice](#) on page 2907 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2908
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2908
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2908
Or	RIC <RIC>	[1..1]	IdentifierSet		2908
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2908
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2908
Or	CTA <CTA>	[1..1]	IdentifierSet		2908
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2909
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2909
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2909
Or	Valoren <Vlrm>	[1..1]	IdentifierSet		2909
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2909
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2909
Or	Common <Cmon>	[1..1]	IdentifierSet		2909
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2910

23.4.7.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text on page 3409](#)

23.4.7.3 SupplementaryIdentification <Splmtryld>

Presence: [0..1]

Definition: Additional information about a financial instrument to help identify the instrument.

Datatype: [Max35Text on page 3409](#)

23.4.7.4 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, ie, ownership, of the security, eg, registered or bearer.

Datatype: [FormOfSecurity1Code on page 3281](#)

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

23.4.7.5 ClassType <ClsTp>

Presence: [0..1]

Definition: Features of units offered by a fund. For example, a unit may have a specific load structure, eg, front end or back end, an income policy, eg, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, eg, 'Class A', 'Class 2'.

Datatype: [Max35Text on page 3409](#)

23.4.7.6 DistributionPolicy <DstrbtnPlcy>

Presence: [0..1]

Definition: Income policy relating to a class type, ie, if income is paid out or retained in the fund.

Datatype: [DistributionPolicy1Code on page 3271](#)

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

23.4.7.7 TransactionDetails <TxDtls>

Presence: [1..*]

Definition: Process of buying, selling, switching or transferring fund units.

Impacted by: C9 TransactionTypeLegExecutionIdentificationRule, C10 TransactionTypeLegIdentificationRule

TransactionDetails <TxDtls> contains the following elements (see InvestmentFundTransaction3 on page 2303 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TransactionType <TxTp>	[1..1]	CodeSet		2305
Or	ExtendedTransactionType <XtndedTxTp>	[1..1]	Text		2306
Or	CorporateActionEventType <CorpActnEvtTp>	[1..1]	CodeSet		2306
Or}	ExtendedCorporateActionEventType <XtndedCorpActnEvtTp>	[1..1]	Text		2308
	BookingStatus <BookgSts>	[0..1]	CodeSet		2308
	MasterReference <MstrRef>	[0..1]	Text		2309
	OrderReference <OrdrRef>	[0..1]	Text		2309
	ClientReference <ClntRef>	[0..1]	Text		2309
	DealReference <DealRef>	[0..1]	Text		2309
	LegIdentification <LegId>	[0..1]	Text		2309
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		2309
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		2309
	SettledTransactionIndicator <SttlTxInd>	[1..1]	Indicator		2310
	RegisteredTransactionIndicator <RegdTxInd>	[1..1]	Indicator		2310
	UnitsQuantity <UnitsQty>	[1..1]	±		2310
	CreditDebit <CdtDbt>	[1..1]	CodeSet		2310
	Reversal <Rvsl>	[0..1]	CodeSet		2310
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2311
	SettlementDate <SttlmDt>	[0..1]	Date		2311
	TradeDateTime <TradDtTm>	[1..1]	±		2311
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		2312
	PartiallyExecutedIndicator <PrtlyExctdInd>	[1..1]	Indicator		2312
	PriceDetails <PricDtls>	[0..1]			2312
{Or	Type <Tp>	[1..1]	CodeSet		2312
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2313
	Value <Val>	[1..1]	±		2314
	PriceMethod <PricMtd>	[0..1]	CodeSet		2314

Constraints

- **TransactionTypeLegExecutionIdentificationRule**

(Rule)

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

- **TransactionTypeLegIdentificationRule**

(Rule)

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

23.4.7.8 BalanceByPage <BalByPg>

Presence: [0..1]

Definition: Balance of the financial instrument for this specific statement page.

BalanceByPage <BalByPg> contains the following elements (see [PaginationBalance1](#) on page 1616 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FirstOpeningBalance <FrstOpngBal>	[0..1]	±		1616
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[0..1]	±		1617
{Or	FinalClosingBalance <FnlClsgBal>	[0..1]	±		1617
Or}	IntermediaryClosingBalance <IntrmyClsgBal>	[0..1]	±		1617

23.4.8 SubAccountDetails <SubAcctDtls>

Presence: [0..*]

Definition: The sub-account of the safekeeping or investment account.

Impacted by: [C8 TransactionOnSubAccountRule](#)

SubAccountDetails <SubAcctDtls> contains the following **SubAccountIdentification6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		371
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		371
	TransactionOnSubAccount <TxOnSubAcct>	[0..*]			372
	Identification <Id>	[1..1]	±		372
	Name <Nm>	[0..1]	Text		373
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		373
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		373
	ClassType <ClassTp>	[0..1]	Text		374
	DistributionPolicy <DstrbtrnPlcy>	[0..1]	CodeSet		374
	TransactionDetails <TxDtls>	[1..*]	±	C9, C10	374
	BalanceByPage <BalByPg>	[0..1]	±		376

Constraints

- **TransactionOnSubAccountRule**

(Rule)

If ActivityIndicator is "true" or "1" (Yes), then TransactionOnSubAccount must be present. If ActivityIndicator is "false" or "0" (No), then TransactionOnSubAccount is not allowed.

23.4.8.1 Identification <Id>

Presence: [1..1]

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

Identification <Id> contains one of the following elements (see [AccountIdentificationFormatChoice](#) on page 1604 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmpIId>	[1..1]	±		1604
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1604
	Identification <Id>	[1..1]	±		1604
	Purpose <Purp>	[1..1]	CodeSet		1605
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1605

23.4.8.2 ActivityIndicator <ActvtyInd>

Presence: [1..1]

Definition: Indicates whether there is activity reported in the statement.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

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

23.4.8.3 TransactionOnSubAccount <TxOnSubAcct>

Presence: [0..*]

Definition: Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.

TransactionOnSubAccount <TxOnSubAcct> contains the following **InvestmentFundTransactionsByFund2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		372
	Name <Nm>	[0..1]	Text		373
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		373
	SecuritiesForm <ScetiesForm>	[0..1]	CodeSet		373
	ClassType <ClsstP>	[0..1]	Text		374
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		374
	TransactionDetails <TxDtls>	[1..*]	±	C9, C10	374
	BalanceByPage <BalByPg>	[0..1]	±		376

23.4.8.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security by an ISIN.

Identification <Id> contains one of the following elements (see [SecurityIdentification3Choice](#) on page 2907 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2908
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2908
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2908
Or	RIC <RIC>	[1..1]	IdentifierSet		2908
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2908
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2908
Or	CTA <CTA>	[1..1]	IdentifierSet		2908
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2909
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2909
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2909
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		2909
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2909
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2909
Or	Common <Cmon>	[1..1]	IdentifierSet		2909
Or}	OtherProprietaryIdentification <OthrPrtryld>	[1..1]	±		2910

23.4.8.3.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text](#) on page 3409

23.4.8.3.3 SupplementaryIdentification <Splmtryld>

Presence: [0..1]

Definition: Additional information about a financial instrument to help identify the instrument.

Datatype: [Max35Text](#) on page 3409

23.4.8.3.4 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, ie, ownership, of the security, eg, registered or bearer.

Datatype: [FormOfSecurity1Code](#) on page 3281

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is

CodeName	Name	Definition
		payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

23.4.8.3.5 ClassType <ClsTp>

Presence: [0..1]

Definition: Features of units offered by a fund. For example, a unit may have a specific load structure, eg, front end or back end, an income policy, eg, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, eg, 'Class A', 'Class 2'.

Datatype: [Max35Text on page 3409](#)

23.4.8.3.6 DistributionPolicy <DstrbtnPlcy>

Presence: [0..1]

Definition: Income policy relating to a class type, ie, if income is paid out or retained in the fund.

Datatype: [DistributionPolicy1Code on page 3271](#)

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

23.4.8.3.7 TransactionDetails <TxDtls>

Presence: [1..*]

Definition: Process of buying, selling, switching or transferring fund units.

Impacted by: [C9 TransactionTypeLegExecutionIdentificationRule](#), [C10 TransactionTypeLegIdentificationRule](#)

TransactionDetails <TxDtls> contains the following elements (see [InvestmentFundTransaction3](#) on page 2303 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TransactionType <TxTp>	[1..1]	CodeSet		2305
Or	ExtendedTransactionType <XtndedTxTp>	[1..1]	Text		2306
Or	CorporateActionEventType <CorpActnEvtTp>	[1..1]	CodeSet		2306
Or}	ExtendedCorporateActionEventType <XtndedCorpActnEvtTp>	[1..1]	Text		2308
	BookingStatus <BookgSts>	[0..1]	CodeSet		2308
	MasterReference <MstrRef>	[0..1]	Text		2309
	OrderReference <OrdrRef>	[0..1]	Text		2309
	ClientReference <ClntRef>	[0..1]	Text		2309
	DealReference <DealRef>	[0..1]	Text		2309
	LegIdentification <LegId>	[0..1]	Text		2309
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		2309
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		2309
	SettledTransactionIndicator <SttlTxInd>	[1..1]	Indicator		2310
	RegisteredTransactionIndicator <RegdTxInd>	[1..1]	Indicator		2310
	UnitsQuantity <UnitsQty>	[1..1]	±		2310
	CreditDebit <CdtDbt>	[1..1]	CodeSet		2310
	Reversal <Rvsl>	[0..1]	CodeSet		2310
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2311
	SettlementDate <SttlmDt>	[0..1]	Date		2311
	TradeDateTime <TradDtTm>	[1..1]	±		2311
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		2312
	PartiallyExecutedIndicator <PrtlyExctdInd>	[1..1]	Indicator		2312
	PriceDetails <PricDtls>	[0..1]			2312
{Or	Type <Tp>	[1..1]	CodeSet		2312
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2313
	Value <Val>	[1..1]	±		2314
	PriceMethod <PricMtd>	[0..1]	CodeSet		2314

Constraints

- **TransactionTypeLegExecutionIdentificationRule**

(Rule)

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

- **TransactionTypeLegIdentificationRule**

(Rule)

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

23.4.8.3.8 BalanceByPage <BalByPg>

Presence: [0..1]

Definition: Balance of the financial instrument for this specific statement page.

BalanceByPage <BalByPg> contains the following elements (see [PaginationBalance1](#) on page 1616 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FirstOpeningBalance <FrstOpngBal>	[0..1]	±		1616
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[0..1]	±		1617
{Or	FinalClosingBalance <FnlClsgBal>	[0..1]	±		1617
Or}	IntermediaryClosingBalance <IntrmyClsgBal>	[0..1]	±		1617

23.4.9 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C5 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

24 MX semt.007.001.02 StatementOfInvestmentFundTransactionsCancellationV02

24.1 MessageDefinition Functionality

Scope

An account servicer, for example, a transfer agent sends the StatementOfInvestmentFundTransactionsCancellation message to the account owner, for example, an investment manager or its authorised representative to cancel a previously sent StatementOfInvestmentFundTransactions message.

Usage

The StatementOfInvestmentFundTransactionsCancellation message is used to cancel a previously sent StatementOfInvestmentFundTransactions message. This message must contain the reference of the message to be cancelled.

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

Outline

The StatementOfInvestmentFundTransactionsCancellationV02 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. MessageIdentification

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

B. PreviousReference

Reference to a linked message that was previously sent.

C. RelatedReference

Reference to a linked message that was previously received.

D. MessagePagination

Pagination of the message.

E. StatementToBeCancelled

The Statement of Investment Fund Transactions message to cancel.

24.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <StmntOfInvstmtFndTxscxIV02>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		380
	PreviousReference <PrvsRef>	[0..1]	±		380
	RelatedReference <RltdRef>	[0..1]	±		380
	MessagePagination <MsgPgntn>	[1..1]	±		381
	StatementToBeCancelled <StmntToBeCanc>	[0..1]	±	C7	381

24.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C3 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C4 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C5 ExtensionRule

(Rule)

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

C6 StreetNameAndOrPostOfficeBoxRule

(Rule)

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

C7 TransactionOnAccountOrSubAccountDetailsRule

(Rule)

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either TransactionOnAccount or SubAccountDetails must be present. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then TransactionOnAccount and SubAccountDetails are not allowed.

C8 TransactionOnSubAccountRule

(Rule)

If ActivityIndicator is "true" or "1" (Yes), then TransactionOnSubAccount must be present. If ActivityIndicator is "false" or "0" (No), then TransactionOnSubAccount is not allowed.

C9 TransactionTypeLegExecutionIdentificationRule

(Rule)

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

C10 TransactionTypeLegIdentificationRule

(Rule)

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

24.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

24.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

24.4.2 PreviousReference <PrvsRef>

Presence: [0..1]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference2 on page 1998](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1998
	ReferenceIssuer <RefIssr>	[0..1]	±		1998
	MessageName <MsgNm>	[0..1]	Text		1999

24.4.3 RelatedReference <RltdRef>

Presence: [0..1]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference2 on page 1998](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1998
	ReferenceIssuer <RefIssr>	[0..1]	±		1998
	MessageName <MsgNm>	[0..1]	Text		1999

24.4.4 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination on page 2472](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

24.4.5 StatementToBeCancelled <StmntToBeCanc>

Presence: [0..1]

Definition: The Statement of Investment Fund Transactions message to cancel.

Impacted by: [C7 TransactionOnAccountOrSubAccountDetailsRule](#)

StatementToBeCancelled <StmntToBeCanc> contains the following elements (see StatementOfInvestmentFundTransactions2 on page 1623 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementGeneralDetails <StmntGnlDtls>	[0..1]			1625
	Reference <Ref>	[1..1]	Text		1625
	StatementPeriod <StmntPrd>	[1..1]	±		1625
	CreationDateTime <CreDtTm>	[0..1]	±		1625
	Frequency <Frqcy>	[0..1]	CodeSet		1626
	UpdateType <UpdTp>	[1..1]	CodeSet		1626
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1626
	ReportNumber <RptNb>	[0..1]	Text		1627
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1627
	TransactionOnAccount <TxOnAcct>	[0..*]			1627
	Identification <Id>	[1..1]	±		1628
	Name <Nm>	[0..1]	Text		1629
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1629
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1629
	ClassType <ClsTp>	[0..1]	Text		1629
	DistributionPolicy <DstrbtnPly>	[0..1]	CodeSet		1629
	TransactionDetails <TxDtls>	[1..*]	±	C9, C10	1629
	BalanceByPage <BalByPg>	[0..1]	±		1631
	SubAccountDetails <SubAcctDtls>	[1..1]		C8	1631
	Identification <Id>	[1..1]	±		1632
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1632
	TransactionOnSubAccount <TxOnSubAcct>	[0..*]			1633
	Identification <Id>	[1..1]	±		1633
	Name <Nm>	[0..1]	Text		1634
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1634
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1634
	ClassType <ClsTp>	[0..1]	Text		1635
	DistributionPolicy <DstrbtnPly>	[0..1]	CodeSet		1635
	TransactionDetails <TxDtls>	[1..*]	±	C9, C10	1635
	BalanceByPage <BalByPg>	[0..1]	±		1637

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Extension <Xtnsn>	[0..*]	±	C16	1637

Constraints

- **TransactionOnAccountOrSubAccountDetailsRule**

(Rule)

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either TransactionOnAccount or SubAccountDetails must be present. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then TransactionOnAccount and SubAccountDetails are not allowed.

25 MX semt.012.001.01 AlternativeFundsAccountingStatementOfHoldingsV01

25.1 MessageDefinition Functionality

Scope

An account servicer, for example, a transfer agent or administrator, sends the AlternativeFundsAccountingStatementOfHoldings message to the account owner, for example, an investment manager, custodian, fund manager or an account owner's designated agent, to provide detailed holdings of the portfolio at a specified moment in time.

There may be one or more parties between the account servicer and the account owner.

The message provides, at a moment in time, valuations of the portfolio together with details of each financial instrument holding.

Usage

The AlternativeFundsAccountingStatementOfHoldings message is sent by the account servicer to the account owner:

- at a frequency agreed bilaterally between the account servicer and the account owner,
- as a response to a request for statement sent by the account owner.

Outline

The AlternativeFundsAccountingStatementOfHoldingsV01 MessageDefinition is composed of 10 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies a message from a technical application standpoint.
 - B. PreviousReference
Reference to a linked message that was previously sent.
 - C. RelatedReference
Reference to a linked message that was previously received.
 - D. MessagePagination
Pagination of the message.
 - E. InvestmentAccountDetails
The safekeeping or investment account.
 - F. StatementGeneralDetails
General information related to the hedge fund accounting statement of holdings.
- .

G. RelatedPartyDetails

Party that provides services to investors relating to financial products.

H. BalanceForAccount

Net position of a segregated holding, in a single security, within the overall position held in a securities account.

I. TotalValues

Value of total holdings reported.

J. Extension

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

25.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AltrntvFndsAcctgStmtOfHldgs>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		388
	PreviousReference <PrvsRef>	[0..*]	±		388
	RelatedReference <RltdRef>	[0..2]	±		388
	MessagePagination <MsgPgntn>	[1..1]	±		388
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±		389
	StatementGeneralDetails <StmtGnlDtls>	[1..1]			389
	Identifier <Idr>	[1..1]	Text		390
	StatementDateTime <StmtDtTm>	[1..1]	±		390
	Frequency <Frqcy>	[1..1]	±		390
	UpdateType <UpdTp>	[1..1]	±		390
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		391
	StatementBasis <StmtBsis>	[1..1]	±		391
	ReportNumber <RptNb>	[0..1]	Text		391
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±		391
	BalanceForAccount <BalForAcct>	[0..*]	±	C3	392
	TotalValues <TtlVals>	[0..1]	±		393
	Extension <Xtnsn>	[0..*]	±	C8	393

25.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AggregateQuantityGuideline

(Guideline)

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

C4 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C5 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C6 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C7 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C8 ExtensionRule

(Rule)

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

C9 FinancialInstrumentIdentificationGuideline

(Guideline)

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

C10 NameRule

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

25.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

25.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies a message from a technical application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

25.4.2 PreviousReference <PrvsRef>

Presence: [0..*]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference4](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

25.4.3 RelatedReference <RltdRef>

Presence: [0..2]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference4](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

25.4.4 MessagePagination <MsgPgntn>

Presence: [1..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination on page 2472](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

25.4.5 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [1..1]

Definition: The safekeeping or investment account.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30 on page 2152](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

25.4.6 StatementGeneralDetails <StmntGnlDtls>

Presence: [1..1]

Definition: General information related to the hedge fund accounting statement of holdings.

StatementGeneralDetails <StmntGnlDtls> contains the following **Statement10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identifier <Ildr>	[1..1]	Text		390
	StatementDateTime <StmntDtTm>	[1..1]	±		390
	Frequency <Frqcy>	[1..1]	±		390
	UpdateType <UpdTp>	[1..1]	±		390
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		391
	StatementBasis <StmntBsis>	[1..1]	±		391
	ReportNumber <RptNb>	[0..1]	Text		391

25.4.6.1 Identifier <Ildr>

Presence: [1..1]

Definition: Reference of the statement.

Datatype: [Max35Text](#) on page 3409

25.4.6.2 StatementDateTime <StmntDtTm>

Presence: [1..1]

Definition: Date of the statement.

StatementDateTime <StmntDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

25.4.6.3 Frequency <Frqcy>

Presence: [1..1]

Definition: Frequency of the statement.

Frequency <Frqcy> contains one of the following elements (see [FrequencyCodeAndDSSCode1Choice](#) on page 2897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2897
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2898

25.4.6.4 UpdateType <UpdTp>

Presence: [1..1]

Definition: Indicates whether the report is complete or contains changes only.

UpdateType <UpdTp> contains one of the following elements (see [StatementUpdateTypeCodeAndDSSCodeChoice](#) on page 2960 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmtUpdTpAsCd>	[1..1]	CodeSet		2960
Or}	StatementUpdateTypeAsDSS <StmtUpdTpAsDSS>	[1..1]	±		2961

25.4.6.5 ActivityIndicator <ActvtyInd>

Presence: [1..1]

Definition: Indicates whether there is activity or information update reported in the statement.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

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

25.4.6.6 StatementBasis <StmtBsis>

Presence: [1..1]

Definition: Type of balance on which the statement is prepared.

StatementBasis <StmtBsis> contains one of the following elements (see [StatementBasisCodeAndDSSCodeChoice](#) on page 2959 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmtBsisAsCd>	[1..1]	CodeSet		2960
Or}	StatementBasisAsDSS <StmtBsisAsDSS>	[1..1]	±		2960

25.4.6.7 ReportNumber <RptNb>

Presence: [0..1]

Definition: Sequential number of the statement.

Datatype: [Max5NumericText](#) on page 3410

25.4.7 RelatedPartyDetails <RltdPtyDtls>

Presence: [0..10]

Definition: Party that provides services to investors relating to financial products.

RelatedPartyDetails <RltdPtyDtls> contains the following elements (see [Intermediary17](#) on page 2620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2620
	RoleType <RoleTp>	[0..1]			2620
{Or	Role <Role>	[1..1]	CodeSet		2621
Or}	Proprietary <Prtry>	[1..1]	±		2622
	Account <Acct>	[0..1]	±		2622

25.4.8 BalanceForAccount <BalForAcct>

Presence: [0..*]

Definition: Net position of a segregated holding, in a single security, within the overall position held in a securities account.

Impacted by: [C3 AggregateQuantityGuideline](#)

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateBalanceInformation5](#) on page 1617 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1618
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1618
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1619
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1620
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C10, C9	1621
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1621
	SubBalanceInformation <SubBallnf>	[0..*]	±		1622
	PriceDetails <PricDtls>	[0..*]	±		1622
	EqualisationBalance <EqulstnBal>	[0..1]	±		1622
	ForeignExchangeDetails <FrgnXchgDtls>	[0..1]	±		1623

Constraints

- **AggregateQuantityGuideline**
 (Guideline)

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

25.4.9 TotalValues <TtIVals>

Presence: [0..1]

Definition: Value of total holdings reported.

TotalValues <TtIVals> contains the following elements (see [TotalValueInPageAndStatement](#) on page 1650 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtIHldgsValOfPg>	[0..1]	Amount	C2, C10	1650
	TotalHoldingsValueOfStatement <TtIHldgsValOfStmnt>	[1..1]	Amount	C2, C10	1651

25.4.10 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C8 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

26 MX semt.041.001.02 SecuritiesBalanceTransparencyReportV02

26.1 MessageDefinition Functionality

Scope

The SecuritiesBalanceTransparencyReport message is sent by an account servicer, such as a custodian, central securities depository or international central securities depository, to the account owner to provide holdings information for the accounts that it services, to disclose underlying details of holdings on an omnibus account that the sender owns or operates at the receiver. The receiver may also be a custodian, central securities depository, international central securities depository, and the ultimate receiver may be a registrar, transfer agent, fund company, official agent of the reported instrument(s) and/or other parties.

The SecuritiesBalanceTransparencyReport message provides transparency of holdings through layers of custody chains in a consolidated statement, to allow for an efficient gathering of investor data, which, in turn, may be used to measure marketing effectiveness, validation of compliance with prospectuses and regulatory requirements, and the calculation of trailer fees and other retrocessions.

Usage

The SecuritiesBalanceTransparencyReport message is used to provide aggregated holdings information and a breakdown of holdings information.

A sender of the SecuritiesBalanceTransparencyReport message will identify its own safekeeping account (for example, an omnibus account in the ledger of the receiver) and holdings information at the level of account(s) for which the sender is the account servicer (that is, in the ledger of the sender). When relevant, the sender will aggregate its holdings information with holdings information of one or more sub levels and sub-sub levels of accounts, that is, with holdings information the sender has received from the owner(s) of the account(s) for which the sender is the account servicer.

A sender of the SecuritiesBalanceTransparencyReport message may also use it to send statements to its account owning customers, and these can be enrichments of statements that the respective account owners have previously provided to the sender.

Ultimately, the statement reaches the relevant fund company, for example, the transfer agent, that may use it for obtaining information about the custodians, distributors and commercial agreement references associated with holdings on an omnibus account at the ultimate place of safekeeping, for example, a central securities depository (CSD) or a register of shareholders.

When the message is sent by the owner of the account specified in SafekeepingAccountAndHoldings/AccountIdentification, the message will disclose holding details of the underlying owner(s) of the sender's holdings with the receiver. This direction is commonly referred to as 'downstream'.

When the sender is the account servicer of an account owned by the receiver, for example, the account in AccountSubLevel1/AccountIdentification or AccountSubLevel2/AccountIdentification, the message is providing a statement of the receiver's holdings with sender. This direction is commonly referred to as 'upstream', and the safekeeping account should identify the ultimate place of safekeeping (for example, an account in a transfer agent's register of shareholders).

Outline

The SecuritiesBalanceTransparencyReportV02 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageIdentification

Unique and unambiguous identification of the message. When the report has multiple pages, one message equals one page. Therefore, the MessageIdentification uniquely identifies the page.

B. SenderIdentification

Identification of the party that is the sender of the message.

C. ReceiverIdentification

Identification of the party that is the receiver of the message.

D. Pagination

Page number of the message (within a statement) and continuation indicator to indicate that the statement is to continue or that the message is the last page of the statement.

E. StatementGeneralDetails

Provides general information on the statement.

F. SafekeepingAccountAndHoldings

Details of the account, account sub-levels and the holdings.

G. SupplementaryData

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

26.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root <Document> <ScetiesBalTrnsprncyRpt></i>	[1..1]			
	MessageIdentification <Msgld>	[1..1]	±		401
	SenderIdentification <Sndrld>	[1..1]	±		401
	ReceiverIdentification <Rcvrld>	[0..1]	±		402
	Pagination <Pgntn>	[1..1]	±		402
	StatementGeneralDetails <StmtGnlDtls>	[1..1]	±	C6	402
	SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs>	[0..*]			403
	AccountIdentification <Acctld>	[1..1]	±		407
	AccountOwner <AcctOwnr>	[1..1]	±		407
	AccountServicer <AcctSvcr>	[1..1]	±		407
	BeneficialOwner <BnfclOwnr>	[0..*]	±		408
	BalanceDetails <BalDtls>	[0..*]			408
	BalanceForAccount <BalForAcct>	[1..*]	±		409
	Agent <Agt>	[0..*]	±	C9	409
	AccountSubLevel1 <AcctSubLvl1>	[0..*]			410
	AccountIdentification <Acctld>	[1..1]	±		413
	AccountOwner <AcctOwnr>	[1..1]	±		414
	AccountServicer <AcctSvcr>	[1..1]	±		414
	BeneficialOwner <BnfclOwnr>	[0..*]	±		414
	BalanceDetails <BalDtls>	[0..*]			415
	BalanceForAccount <BalForAcct>	[1..*]	±		415
	Agent <Agt>	[0..*]	±	C9	416
	AccountSubLevel2 <AcctSubLvl2>	[0..*]			416
	AccountIdentification <Acctld>	[1..1]	±		419
	AccountOwner <AcctOwnr>	[1..1]	±		419
	AccountServicer <AcctSvcr>	[1..1]	±		420
	BeneficialOwner <BnfclOwnr>	[0..*]	±		420
	BalanceDetails <BalDtls>	[0..*]			421
	BalanceForAccount <BalForAcct>	[1..*]	±		421
	Agent <Agt>	[0..*]	±	C9	422

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountSubLevel3 <AcctSubLv3>	[0..*]			422
	AccountIdentification <AcctId>	[1..1]	±		425
	AccountOwner <AcctOwnr>	[1..1]	±		425
	AccountServicer <AcctSvcr>	[1..1]	±		425
	BeneficialOwner <BnfclOwnr>	[0..*]	±		426
	BalanceDetails <BalDtls>	[0..*]			426
	BalanceForAccount <BalForAcct>	[1..*]	±		427
	Agent <Agt>	[0..*]	±	C9	427
	AccountSubLevel4 <AcctSubLv4>	[0..*]			428
	AccountIdentification <AcctId>	[1..1]	±		430
	AccountOwner <AcctOwnr>	[1..1]	±		431
	AccountServicer <AcctSvcr>	[1..1]	±		431
	BeneficialOwner <BnfclOwnr>	[0..*]	±		431
	BalanceDetails <BalDtls>	[0..*]			432
	BalanceForAccount <BalForAcct>	[1..*]	±		432
	Agent <Agt>	[0..*]	±	C9	433
	AccountSubLevel5 <AcctSubLv5>	[0..*]			433
	AccountIdentification <AcctId>	[1..1]	±		435
	AccountOwner <AcctOwnr>	[1..1]	±		435
	AccountServicer <AcctSvcr>	[1..1]	±		436
	BeneficialOwner <BnfclOwnr>	[0..*]	±		436
	BalanceDetails <BalDtls>	[0..*]			437
	BalanceForAccount <BalForAcct>	[1..*]	±		437
	Agent <Agt>	[0..*]	±	C9	438
	AccountSubLevel6 <AcctSubLv6>	[0..*]			438
	AccountIdentification <AcctId>	[1..1]	±		440
	AccountOwner <AcctOwnr>	[1..1]	±		440
	AccountServicer <AcctSvcr>	[1..1]	±		440
	BeneficialOwner <BnfclOwnr>	[0..*]	±		441
	BalanceDetails <BalDtls>	[0..*]			441
	BalanceForAccount <BalForAcct>	[1..*]	±		442

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Agent <Agt>	[0..*]	±	C9	442
	AccountSubLevel7 <AcctSubLv7>	[0..*]			443
	AccountIdentification <AcctId>	[1..1]	±		444
	AccountOwner <AcctOwnr>	[1..1]	±		445
	AccountServicer <AcctSvcr>	[1..1]	±		445
	BeneficialOwner <BnfcOwnr>	[0..*]	±		445
	BalanceDetails <BalDtls>	[0..*]			446
	BalanceForAccount <BalForAcct>	[1..*]	±		446
	Agent <Agt>	[0..*]	±	C9	447
	AccountSubLevel8 <AcctSubLv8>	[0..*]			447
	AccountIdentification <AcctId>	[1..1]	±		448
	AccountOwner <AcctOwnr>	[1..1]	±		448
	AccountServicer <AcctSvcr>	[1..1]	±		449
	BeneficialOwner <BnfcOwnr>	[0..*]	±		449
	BalanceDetails <BalDtls>	[0..*]			450
	BalanceForAccount <BalForAcct>	[1..*]	±		450
	Agent <Agt>	[0..*]	±	C9	451
	AccountSubLevel9 <AcctSubLv9>	[0..*]			451
	AccountIdentification <AcctId>	[1..1]	±		452
	AccountOwner <AcctOwnr>	[1..1]	±		452
	AccountServicer <AcctSvcr>	[1..1]	±		452
	BeneficialOwner <BnfcOwnr>	[0..*]	±		453
	BalanceDetails <BalDtls>	[0..*]			453
	BalanceForAccount <BalForAcct>	[1..*]	±		454
	Agent <Agt>	[0..*]	±	C9	454
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel9Difference <AcctSubLv9Diff>	[0..*]	±		455
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel8Difference <AcctSubLv8Diff>	[0..*]	±		456
	SupplementaryData <SplmtryData>	[0..*]	±	C11	456
	AccountSubLevel7Difference <AcctSubLv7Diff>	[0..*]	±		457

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	SupplementaryData <SplmtryData>	[0..*]	±	C11	457
	AccountSubLevel6Difference <AcctSubLv6Diff>	[0..*]	±		457
	SupplementaryData <SplmtryData>	[0..*]	±	C11	458
	AccountSubLevel5Difference <AcctSubLv5Diff>	[0..*]	±		458
	SupplementaryData <SplmtryData>	[0..*]	±	C11	459
	AccountSubLevel4Difference <AcctSubLv4Diff>	[0..*]	±		459
	SupplementaryData <SplmtryData>	[0..*]	±	C11	459
	AccountSubLevel3Difference <AcctSubLv3Diff>	[0..*]	±		460
	SupplementaryData <SplmtryData>	[0..*]	±	C11	460
	AccountSubLevel2Difference <AcctSubLv2Diff>	[0..*]	±		461
	SupplementaryData <SplmtryData>	[0..*]	±	C11	461
	AccountSubLevel1Difference <AcctSubLv1Diff>	[0..*]	±		461
	SupplementaryData <SplmtryData>	[0..*]	±	C11	462

26.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C2 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C3 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C4 DescriptionPresenceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00192
- *Error Text:* At least one identification must be present.

C5 DescriptionUsageRule

(Rule)

Description must be used alone as the last resort.

C6 FrequencyGranularityGuideline

(Guideline)

FrequencyGranularity should be within the limits of the Frequency, such as Frequency equals Monthly and FrequencyGranularity equals Daily.

C7 ISINGuideline

(Rule)

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

C8 ISINPresenceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00194
- *Error Text:* At least one identification must be present.

C9 OrderOriginatorEligibility1Rule

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

C10 OtherIdentificationPresenceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00193
- *Error Text:* At least one identification must be present.

C11 SupplementaryDataRule

(Rule)

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.

26.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

26.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Unique and unambiguous identification of the message. When the report has multiple pages, one message equals one page. Therefore, the MessageIdentification uniquely identifies the page.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

26.4.2 SenderIdentification <SndrId>

Presence: [1..1]

Definition: Identification of the party that is the sender of the message.

SenderIdentification <SndrId> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.3 ReceiverIdentification <RcvrId>

Presence: [0..1]

Definition: Identification of the party that is the receiver of the message.

ReceiverIdentification <RcvrId> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.4 Pagination <Pgntn>

Presence: [1..1]

Definition: Page number of the message (within a statement) and continuation indicator to indicate that the statement is to continue or that the message is the last page of the statement.

Pagination <Pgntn> contains the following elements (see [Pagination](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

26.4.5 StatementGeneralDetails <StmtGnIDtls>

Presence: [1..1]

Definition: Provides general information on the statement.

Impacted by: [C6 FrequencyGranularityGuideline](#)

StatementGeneralDetails <StmntGnlDtIs> contains the following elements (see [Statement59](#) on page 2359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SenderBusinessRole <SndrBizRole>	[1..1]	CodeSet		2359
	StatementNumber <StmntNb>	[0..1]	±		2360
	QueryReference <QryRef>	[0..1]	Text		2360
	StatementIdentification <StmntId>	[1..1]	Text		2360
	StatementDateTime <StmntDtTm>	[1..1]	±		2360
	StatementPeriod <StmntPrd>	[1..1]	±		2360
	Frequency <Frqcy>	[0..1]	±		2361
	FrequencyGranularity <FrqcyGrnlrty>	[0..1]	CodeSet		2361
	UpdateType <UpdTp>	[0..1]	±		2361
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		2362

Constraints

- **FrequencyGranularityGuideline**

(Guideline)

FrequencyGranularity should be within the limits of the Frequency, such as Frequency equals Monthly and FrequencyGranularity equals Daily.

26.4.6 SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs>

Presence: [0..*]

Definition: Details of the account, account sub-levels and the holdings.

SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs> contains the following
SafekeepingAccount7 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		407
	AccountOwner <AcctOwnr>	[1..1]	±		407
	AccountServicer <AcctSvcr>	[1..1]	±		407
	BeneficialOwner <BnfcIOwnr>	[0..*]	±		408
	BalanceDetails <BalDtls>	[0..*]			408
	BalanceForAccount <BalForAcct>	[1..*]	±		409
	Agent <Agt>	[0..*]	±	C9	409
	AccountSubLevel1 <AcctSubLv1>	[0..*]			410
	AccountIdentification <AcctId>	[1..1]	±		413
	AccountOwner <AcctOwnr>	[1..1]	±		414
	AccountServicer <AcctSvcr>	[1..1]	±		414
	BeneficialOwner <BnfcIOwnr>	[0..*]	±		414
	BalanceDetails <BalDtls>	[0..*]			415
	BalanceForAccount <BalForAcct>	[1..*]	±		415
	Agent <Agt>	[0..*]	±	C9	416
	AccountSubLevel2 <AcctSubLv2>	[0..*]			416
	AccountIdentification <AcctId>	[1..1]	±		419
	AccountOwner <AcctOwnr>	[1..1]	±		419
	AccountServicer <AcctSvcr>	[1..1]	±		420
	BeneficialOwner <BnfcIOwnr>	[0..*]	±		420
	BalanceDetails <BalDtls>	[0..*]			421
	BalanceForAccount <BalForAcct>	[1..*]	±		421
	Agent <Agt>	[0..*]	±	C9	422
	AccountSubLevel3 <AcctSubLv3>	[0..*]			422
	AccountIdentification <AcctId>	[1..1]	±		425
	AccountOwner <AcctOwnr>	[1..1]	±		425
	AccountServicer <AcctSvcr>	[1..1]	±		425
	BeneficialOwner <BnfcIOwnr>	[0..*]	±		426
	BalanceDetails <BalDtls>	[0..*]			426
	BalanceForAccount <BalForAcct>	[1..*]	±		427

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Agent <Agt>	[0..*]	±	C9	427
	AccountSubLevel4 <AcctSubLv4>	[0..*]			428
	AccountIdentification <AcctId>	[1..1]	±		430
	AccountOwner <AcctOwnr>	[1..1]	±		431
	AccountServicer <AcctSvcr>	[1..1]	±		431
	BeneficialOwner <BnfclOwnr>	[0..*]	±		431
	BalanceDetails <BalDtls>	[0..*]			432
	BalanceForAccount <BalForAcct>	[1..*]	±		432
	Agent <Agt>	[0..*]	±	C9	433
	AccountSubLevel5 <AcctSubLv5>	[0..*]			433
	AccountIdentification <AcctId>	[1..1]	±		435
	AccountOwner <AcctOwnr>	[1..1]	±		435
	AccountServicer <AcctSvcr>	[1..1]	±		436
	BeneficialOwner <BnfclOwnr>	[0..*]	±		436
	BalanceDetails <BalDtls>	[0..*]			437
	BalanceForAccount <BalForAcct>	[1..*]	±		437
	Agent <Agt>	[0..*]	±	C9	438
	AccountSubLevel6 <AcctSubLv6>	[0..*]			438
	AccountIdentification <AcctId>	[1..1]	±		440
	AccountOwner <AcctOwnr>	[1..1]	±		440
	AccountServicer <AcctSvcr>	[1..1]	±		440
	BeneficialOwner <BnfclOwnr>	[0..*]	±		441
	BalanceDetails <BalDtls>	[0..*]			441
	BalanceForAccount <BalForAcct>	[1..*]	±		442
	Agent <Agt>	[0..*]	±	C9	442
	AccountSubLevel7 <AcctSubLv7>	[0..*]			443
	AccountIdentification <AcctId>	[1..1]	±		444
	AccountOwner <AcctOwnr>	[1..1]	±		445
	AccountServicer <AcctSvcr>	[1..1]	±		445
	BeneficialOwner <BnfclOwnr>	[0..*]	±		445
	BalanceDetails <BalDtls>	[0..*]			446

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BalanceForAccount <BalForAcct>	[1..*]	±		446
	Agent <Agt>	[0..*]	±	C9	447
	AccountSubLevel8 <AcctSubLv18>	[0..*]			447
	AccountIdentification <AcctId>	[1..1]	±		448
	AccountOwner <AcctOwnr>	[1..1]	±		448
	AccountServicer <AcctSvcr>	[1..1]	±		449
	BeneficialOwner <BnfclOwnr>	[0..*]	±		449
	BalanceDetails <BalDtls>	[0..*]			450
	BalanceForAccount <BalForAcct>	[1..*]	±		450
	Agent <Agt>	[0..*]	±	C9	451
	AccountSubLevel9 <AcctSubLv19>	[0..*]			451
	AccountIdentification <AcctId>	[1..1]	±		452
	AccountOwner <AcctOwnr>	[1..1]	±		452
	AccountServicer <AcctSvcr>	[1..1]	±		452
	BeneficialOwner <BnfclOwnr>	[0..*]	±		453
	BalanceDetails <BalDtls>	[0..*]			453
	BalanceForAccount <BalForAcct>	[1..*]	±		454
	Agent <Agt>	[0..*]	±	C9	454
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel9Difference <AcctSubLv19Diff>	[0..*]	±		455
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel8Difference <AcctSubLv18Diff>	[0..*]	±		456
	SupplementaryData <SplmtryData>	[0..*]	±	C11	456
	AccountSubLevel7Difference <AcctSubLv17Diff>	[0..*]	±		457
	SupplementaryData <SplmtryData>	[0..*]	±	C11	457
	AccountSubLevel6Difference <AcctSubLv16Diff>	[0..*]	±		457
	SupplementaryData <SplmtryData>	[0..*]	±	C11	458
	AccountSubLevel5Difference <AcctSubLv15Diff>	[0..*]	±		458
	SupplementaryData <SplmtryData>	[0..*]	±	C11	459
	AccountSubLevel4Difference <AcctSubLv14Diff>	[0..*]	±		459

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SupplementaryData <SplmtryData>	[0..*]	±	C11	459
	AccountSubLevel3Difference <AcctSubLv3Diff>	[0..*]	±		460
	SupplementaryData <SplmtryData>	[0..*]	±	C11	460
	AccountSubLevel2Difference <AcctSubLv2Diff>	[0..*]	±		461
	SupplementaryData <SplmtryData>	[0..*]	±	C11	461
	AccountSubLevel1Difference <AcctSubLv1Diff>	[0..*]	±		461

26.4.6.1 AccountIdentification <AcctId>

Presence: [1..1]

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

AccountIdentification <AcctId> contains the following elements (see [SecuritiesAccount19](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	Name <Nm>	[0..1]	Text		1587

26.4.6.2 AccountOwner <AcctOwnr>

Presence: [1..1]

Definition: Party that legally owns the account.

AccountOwner <AcctOwnr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.3 AccountServicer <AcctSvcr>

Presence: [1..1]

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

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.4 BeneficialOwner <BnfclOwnr>

Presence: [0..*]

Definition: Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

BeneficialOwner <BnfclOwnr> contains the following elements (see [BeneficialOwner2](#) on page 2398 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficialOwnerIdentification <BnfclOwnrId>	[1..1]	±		2399
	AdditionalIdentification <AddtlId>	[0..1]			2399
	Identification <Id>	[1..1]	Text		2400
	Type <Tp>	[1..1]			2400
{Or	Code <Cd>	[1..1]	CodeSet		2400
Or}	Proprietary <Prtry>	[1..1]	±		2401
	Issuer <Issr>	[0..1]	Text		2401
	IssueDate <IssDt>	[0..1]	Date		2401
	ExpiryDate <XpryDt>	[0..1]	Date		2402
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2402
	Nationality <Ntlty>	[0..1]	CodeSet	C11	2402
	DomicileCountry <DmclCtry>	[0..1]	CodeSet	C11	2402
	NonDomicileCountry <NonDmclCtry>	[0..1]	CodeSet	C11	2403
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2403
	CertificationType <CertfctnTp>	[0..1]	±		2404
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		2404

26.4.6.5 BalanceDetails <BalDtls>

Presence: [0..*]

Definition: Report on the net position of a financial instrument on the account, for a certain date. The agent, for example, a trade intermediary, may also be specified.

BalanceDetails <BalDtls> contains the following **AggregateHoldingBalance3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BalanceForAccount <BalForAcct>	[1..*]	±		409
	Agent <Agt>	[0..*]	±	C9	409

26.4.6.5.1 BalanceForAccount <BalForAcct>

Presence: [1..*]

Definition: Report on the net position of a financial instrument on the sub-account, for a certain date.

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateHoldingBalance1](#) on page 1684 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1684
	HoldingForm <HldgForm>	[0..1]	CodeSet		1686
	HoldingPhysicalType <HldgPhysTp>	[0..1]	CodeSet		1686
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1686
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1686

26.4.6.5.2 Agent <Agt>

Presence: [0..*]

Definition: Agent of the financial instrument, for example, a trade intermediary.

Impacted by: [C9 OrderOriginatorEligibility1Rule](#)

Agent <Agt> contains the following elements (see [Intermediary29](#) on page 2630 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2630
	Role <Role>	[1..1]	±		2630
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2630
	SupplementaryData <SplmtryData>	[0..*]	±	C8	2631

Constraints

- **OrderOriginatorEligibility1Rule**
 (Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

26.4.6.6 AccountSubLevel1 <AcctSubLvl1>

Presence: [0..*]

Definition: Holdings of level 1.

AccountSubLevel1 <AcctSubLv1> contains the following **AccountSubLevel11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		413
	AccountOwner <AcctOwnr>	[1..1]	±		414
	AccountServicer <AcctSvcr>	[1..1]	±		414
	BeneficialOwner <BnfclOwnr>	[0..*]	±		414
	BalanceDetails <BalDtls>	[0..*]			415
	BalanceForAccount <BalForAcct>	[1..*]	±		415
	Agent <Agt>	[0..*]	±	C9	416
	AccountSubLevel2 <AcctSubLv12>	[0..*]			416
	AccountIdentification <AcctId>	[1..1]	±		419
	AccountOwner <AcctOwnr>	[1..1]	±		419
	AccountServicer <AcctSvcr>	[1..1]	±		420
	BeneficialOwner <BnfclOwnr>	[0..*]	±		420
	BalanceDetails <BalDtls>	[0..*]			421
	BalanceForAccount <BalForAcct>	[1..*]	±		421
	Agent <Agt>	[0..*]	±	C9	422
	AccountSubLevel3 <AcctSubLv13>	[0..*]			422
	AccountIdentification <AcctId>	[1..1]	±		425
	AccountOwner <AcctOwnr>	[1..1]	±		425
	AccountServicer <AcctSvcr>	[1..1]	±		425
	BeneficialOwner <BnfclOwnr>	[0..*]	±		426
	BalanceDetails <BalDtls>	[0..*]			426
	BalanceForAccount <BalForAcct>	[1..*]	±		427
	Agent <Agt>	[0..*]	±	C9	427
	AccountSubLevel4 <AcctSubLv14>	[0..*]			428
	AccountIdentification <AcctId>	[1..1]	±		430
	AccountOwner <AcctOwnr>	[1..1]	±		431
	AccountServicer <AcctSvcr>	[1..1]	±		431
	BeneficialOwner <BnfclOwnr>	[0..*]	±		431
	BalanceDetails <BalDtls>	[0..*]			432
	BalanceForAccount <BalForAcct>	[1..*]	±		432
	Agent <Agt>	[0..*]	±	C9	433

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountSubLevel5 <AcctSubLv5>	[0..*]			433
	AccountIdentification <AcctId>	[1..1]	±		435
	AccountOwner <AcctOwnr>	[1..1]	±		435
	AccountServicer <AcctSvcr>	[1..1]	±		436
	BeneficialOwner <BnfclOwnr>	[0..*]	±		436
	BalanceDetails <BalDtls>	[0..*]			437
	BalanceForAccount <BalForAcct>	[1..*]	±		437
	Agent <Agt>	[0..*]	±	C9	438
	AccountSubLevel6 <AcctSubLv6>	[0..*]			438
	AccountIdentification <AcctId>	[1..1]	±		440
	AccountOwner <AcctOwnr>	[1..1]	±		440
	AccountServicer <AcctSvcr>	[1..1]	±		440
	BeneficialOwner <BnfclOwnr>	[0..*]	±		441
	BalanceDetails <BalDtls>	[0..*]			441
	BalanceForAccount <BalForAcct>	[1..*]	±		442
	Agent <Agt>	[0..*]	±	C9	442
	AccountSubLevel7 <AcctSubLv7>	[0..*]			443
	AccountIdentification <AcctId>	[1..1]	±		444
	AccountOwner <AcctOwnr>	[1..1]	±		445
	AccountServicer <AcctSvcr>	[1..1]	±		445
	BeneficialOwner <BnfclOwnr>	[0..*]	±		445
	BalanceDetails <BalDtls>	[0..*]			446
	BalanceForAccount <BalForAcct>	[1..*]	±		446
	Agent <Agt>	[0..*]	±	C9	447
	AccountSubLevel8 <AcctSubLv8>	[0..*]			447
	AccountIdentification <AcctId>	[1..1]	±		448
	AccountOwner <AcctOwnr>	[1..1]	±		448
	AccountServicer <AcctSvcr>	[1..1]	±		449
	BeneficialOwner <BnfclOwnr>	[0..*]	±		449
	BalanceDetails <BalDtls>	[0..*]			450
	BalanceForAccount <BalForAcct>	[1..*]	±		450

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Agent <Agt>	[0..*]	±	C9	451
	AccountSubLevel9 <AcctSubLv9>	[0..*]			451
	AccountIdentification <AcctId>	[1..1]	±		452
	AccountOwner <AcctOwnr>	[1..1]	±		452
	AccountServicer <AcctSvcr>	[1..1]	±		452
	BeneficialOwner <BnfclOwnr>	[0..*]	±		453
	BalanceDetails <BalDtls>	[0..*]			453
	BalanceForAccount <BalForAcct>	[1..*]	±		454
	Agent <Agt>	[0..*]	±	C9	454
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel9Difference <AcctSubLv9Diff>	[0..*]	±		455
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel8Difference <AcctSubLv8Diff>	[0..*]	±		456
	SupplementaryData <SplmtryData>	[0..*]	±	C11	456
	AccountSubLevel7Difference <AcctSubLv7Diff>	[0..*]	±		457
	SupplementaryData <SplmtryData>	[0..*]	±	C11	457
	AccountSubLevel6Difference <AcctSubLv6Diff>	[0..*]	±		457
	SupplementaryData <SplmtryData>	[0..*]	±	C11	458
	AccountSubLevel5Difference <AcctSubLv5Diff>	[0..*]	±		458
	SupplementaryData <SplmtryData>	[0..*]	±	C11	459
	AccountSubLevel4Difference <AcctSubLv4Diff>	[0..*]	±		459
	SupplementaryData <SplmtryData>	[0..*]	±	C11	459
	AccountSubLevel3Difference <AcctSubLv3Diff>	[0..*]	±		460
	SupplementaryData <SplmtryData>	[0..*]	±	C11	460
	AccountSubLevel2Difference <AcctSubLv2Diff>	[0..*]	±		461
	SupplementaryData <SplmtryData>	[0..*]	±	C11	461

26.4.6.6.1 AccountIdentification <AcctId>

Presence: [1..1]

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

AccountIdentification <AcctId> contains the following elements (see [SecuritiesAccount19](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	Name <Nm>	[0..1]	Text		1587

26.4.6.6.2 AccountOwner <AcctOwnr>

Presence: [1..1]

Definition: Party that legally owns the sub-account.

AccountOwner <AcctOwnr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.3 AccountServicer <AcctSvcr>

Presence: [1..1]

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

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.4 BeneficialOwner <BnfclOwnr>

Presence: [0..*]

Definition: Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

BeneficialOwner <BnfclOwnr> contains the following elements (see [BeneficialOwner2](#) on page 2398 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficialOwnerIdentification <BnfclOwnrId>	[1..1]	±		2399
	AdditionalIdentification <AddtlId>	[0..1]			2399
	Identification <Id>	[1..1]	Text		2400
	Type <Tp>	[1..1]			2400
{Or	Code <Cd>	[1..1]	CodeSet		2400
Or}	Proprietary <Prtry>	[1..1]	±		2401
	Issuer <Issr>	[0..1]	Text		2401
	IssueDate <IssDt>	[0..1]	Date		2401
	ExpiryDate <XpryDt>	[0..1]	Date		2402
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2402
	Nationality <Ntlty>	[0..1]	CodeSet	C11	2402
	DomicileCountry <DmclCtry>	[0..1]	CodeSet	C11	2402
	NonDomicileCountry <NonDmclCtry>	[0..1]	CodeSet	C11	2403
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2403
	CertificationType <CertfctnTp>	[0..1]	±		2404
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		2404

26.4.6.6.5 BalanceDetails <BalDtls>

Presence: [0..*]

Definition: Report on the net position of a financial instrument on the sub-account (sub-account level 1), for a certain date. The agent, for example, a trade intermediary, may also be specified.

BalanceDetails <BalDtls> contains the following **AggregateHoldingBalance3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BalanceForAccount <BalForAcct>	[1..*]	±		415
	Agent <Agt>	[0..*]	±	C9	416

26.4.6.6.5.1 BalanceForAccount <BalForAcct>

Presence: [1..*]

Definition: Report on the net position of a financial instrument on the sub-account, for a certain date.

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateHoldingBalance1](#) on page 1684 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1684
	HoldingForm <HldgForm>	[0..1]	CodeSet		1686
	HoldingPhysicalType <HldgPhysTp>	[0..1]	CodeSet		1686
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1686
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1686

26.4.6.6.5.2 Agent <Agt>

Presence: [0..*]

Definition: Agent of the financial instrument, for example, a trade intermediary.

Impacted by: [C9 OrderOriginatorEligibility1Rule](#)

Agent <Agt> contains the following elements (see [Intermediary29](#) on page 2630 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2630
	Role <Role>	[1..1]	±		2630
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2630
	SupplementaryData <SplmtryData>	[0..*]	±	C8	2631

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

26.4.6.6.6 AccountSubLevel2 <AcctSubLvI2>

Presence: [0..*]

Definition: Holdings of level 2.

AccountSubLevel2 <AcctSubLv2> contains the following **AccountSubLevel12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		419
	AccountOwner <AcctOwnr>	[1..1]	±		419
	AccountServicer <AcctSvcr>	[1..1]	±		420
	BeneficialOwner <BnfclOwnr>	[0..*]	±		420
	BalanceDetails <BalDtls>	[0..*]			421
	BalanceForAccount <BalForAcct>	[1..*]	±		421
	Agent <Agt>	[0..*]	±	C9	422
	AccountSubLevel3 <AcctSubLv3>	[0..*]			422
	AccountIdentification <AcctId>	[1..1]	±		425
	AccountOwner <AcctOwnr>	[1..1]	±		425
	AccountServicer <AcctSvcr>	[1..1]	±		425
	BeneficialOwner <BnfclOwnr>	[0..*]	±		426
	BalanceDetails <BalDtls>	[0..*]			426
	BalanceForAccount <BalForAcct>	[1..*]	±		427
	Agent <Agt>	[0..*]	±	C9	427
	AccountSubLevel4 <AcctSubLv4>	[0..*]			428
	AccountIdentification <AcctId>	[1..1]	±		430
	AccountOwner <AcctOwnr>	[1..1]	±		431
	AccountServicer <AcctSvcr>	[1..1]	±		431
	BeneficialOwner <BnfclOwnr>	[0..*]	±		431
	BalanceDetails <BalDtls>	[0..*]			432
	BalanceForAccount <BalForAcct>	[1..*]	±		432
	Agent <Agt>	[0..*]	±	C9	433
	AccountSubLevel5 <AcctSubLv5>	[0..*]			433
	AccountIdentification <AcctId>	[1..1]	±		435
	AccountOwner <AcctOwnr>	[1..1]	±		435
	AccountServicer <AcctSvcr>	[1..1]	±		436
	BeneficialOwner <BnfclOwnr>	[0..*]	±		436
	BalanceDetails <BalDtls>	[0..*]			437
	BalanceForAccount <BalForAcct>	[1..*]	±		437
	Agent <Agt>	[0..*]	±	C9	438

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountSubLevel6 <AcctSubLv6>	[0..*]			438
	AccountIdentification <AcctId>	[1..1]	±		440
	AccountOwner <AcctOwnr>	[1..1]	±		440
	AccountServicer <AcctSvcr>	[1..1]	±		440
	BeneficialOwner <BnfclOwnr>	[0..*]	±		441
	BalanceDetails <BalDtls>	[0..*]			441
	BalanceForAccount <BalForAcct>	[1..*]	±		442
	Agent <Agt>	[0..*]	±	C9	442
	AccountSubLevel7 <AcctSubLv7>	[0..*]			443
	AccountIdentification <AcctId>	[1..1]	±		444
	AccountOwner <AcctOwnr>	[1..1]	±		445
	AccountServicer <AcctSvcr>	[1..1]	±		445
	BeneficialOwner <BnfclOwnr>	[0..*]	±		445
	BalanceDetails <BalDtls>	[0..*]			446
	BalanceForAccount <BalForAcct>	[1..*]	±		446
	Agent <Agt>	[0..*]	±	C9	447
	AccountSubLevel8 <AcctSubLv8>	[0..*]			447
	AccountIdentification <AcctId>	[1..1]	±		448
	AccountOwner <AcctOwnr>	[1..1]	±		448
	AccountServicer <AcctSvcr>	[1..1]	±		449
	BeneficialOwner <BnfclOwnr>	[0..*]	±		449
	BalanceDetails <BalDtls>	[0..*]			450
	BalanceForAccount <BalForAcct>	[1..*]	±		450
	Agent <Agt>	[0..*]	±	C9	451
	AccountSubLevel9 <AcctSubLv9>	[0..*]			451
	AccountIdentification <AcctId>	[1..1]	±		452
	AccountOwner <AcctOwnr>	[1..1]	±		452
	AccountServicer <AcctSvcr>	[1..1]	±		452
	BeneficialOwner <BnfclOwnr>	[0..*]	±		453
	BalanceDetails <BalDtls>	[0..*]			453
	BalanceForAccount <BalForAcct>	[1..*]	±		454

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Agent <Agt>	[0..*]	±	C9	454
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel9Difference <AcctSubLv9Diff>	[0..*]	±		455
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel8Difference <AcctSubLv8Diff>	[0..*]	±		456
	SupplementaryData <SplmtryData>	[0..*]	±	C11	456
	AccountSubLevel7Difference <AcctSubLv7Diff>	[0..*]	±		457
	SupplementaryData <SplmtryData>	[0..*]	±	C11	457
	AccountSubLevel6Difference <AcctSubLv6Diff>	[0..*]	±		457
	SupplementaryData <SplmtryData>	[0..*]	±	C11	458
	AccountSubLevel5Difference <AcctSubLv5Diff>	[0..*]	±		458
	SupplementaryData <SplmtryData>	[0..*]	±	C11	459
	AccountSubLevel4Difference <AcctSubLv4Diff>	[0..*]	±		459
	SupplementaryData <SplmtryData>	[0..*]	±	C11	459
	AccountSubLevel3Difference <AcctSubLv3Diff>	[0..*]	±		460
	SupplementaryData <SplmtryData>	[0..*]	±	C11	460

26.4.6.6.6.1 AccountIdentification <AcctId>

Presence: [1..1]

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

AccountIdentification <AcctId> contains the following elements (see [SecuritiesAccount19](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	Name <Nm>	[0..1]	Text		1587

26.4.6.6.6.2 AccountOwner <AcctOwnr>

Presence: [1..1]

Definition: Party that legally owns the sub-account.

AccountOwner <AcctOwnr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.3 AccountServicer <AcctSvcr>

Presence: [1..1]

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

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.4 BeneficialOwner <BnfclOwnr>

Presence: [0..*]

Definition: Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

BeneficialOwner <BnfcIOwnr> contains the following elements (see [BeneficialOwner2](#) on page 2398 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficialOwnerIdentification <BnfcIOwnrId>	[1..1]	±		2399
	AdditionalIdentification <AddtlId>	[0..1]			2399
	Identification <Id>	[1..1]	Text		2400
	Type <Tp>	[1..1]			2400
{Or	Code <Cd>	[1..1]	CodeSet		2400
Or}	Proprietary <Prtry>	[1..1]	±		2401
	Issuer <Issr>	[0..1]	Text		2401
	IssueDate <IssDt>	[0..1]	Date		2401
	ExpiryDate <XpryDt>	[0..1]	Date		2402
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2402
	Nationality <Ntlty>	[0..1]	CodeSet	C11	2402
	DomicileCountry <DmclCtry>	[0..1]	CodeSet	C11	2402
	NonDomicileCountry <NonDmclCtry>	[0..1]	CodeSet	C11	2403
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2403
	CertificationType <CertfctnTp>	[0..1]	±		2404
	DeclarationDetails <DclrtnDtIs>	[0..1]	Text		2404

26.4.6.6.6.5 BalanceDetails <BalDtIs>

Presence: [0..*]

Definition: Report on the net position of a financial instrument on the sub-account (sub-account level 2), for a certain date. The agent, for example, a trade intermediary, may also be specified.

BalanceDetails <BalDtIs> contains the following **AggregateHoldingBalance3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BalanceForAccount <BalForAcct>	[1..*]	±		421
	Agent <Agt>	[0..*]	±	C9	422

26.4.6.6.6.5.1 BalanceForAccount <BalForAcct>

Presence: [1..*]

Definition: Report on the net position of a financial instrument on the sub-account, for a certain date.

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateHoldingBalance1](#) on page 1684 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1684
	HoldingForm <HldgForm>	[0..1]	CodeSet		1686
	HoldingPhysicalType <HldgPhysTp>	[0..1]	CodeSet		1686
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1686
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1686

26.4.6.6.5.2 Agent <Agt>

Presence: [0..*]

Definition: Agent of the financial instrument, for example, a trade intermediary.

Impacted by: [C9 OrderOriginatorEligibility1Rule](#)

Agent <Agt> contains the following elements (see [Intermediary29](#) on page 2630 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2630
	Role <Role>	[1..1]	±		2630
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2630
	SupplementaryData <SplmtryData>	[0..*]	±	C8	2631

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

26.4.6.6.6 AccountSubLevel3 <AcctSubLv13>

Presence: [0..*]

Definition: Holdings of level 3.

AccountSubLevel3 <AcctSubLv3> contains the following **AccountSubLevel13** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		425
	AccountOwner <AcctOwnr>	[1..1]	±		425
	AccountServicer <AcctSvcr>	[1..1]	±		425
	BeneficialOwner <BnfclOwnr>	[0..*]	±		426
	BalanceDetails <BalDtls>	[0..*]			426
	BalanceForAccount <BalForAcct>	[1..*]	±		427
	Agent <Agt>	[0..*]	±	C9	427
	AccountSubLevel4 <AcctSubLv4>	[0..*]			428
	AccountIdentification <AcctId>	[1..1]	±		430
	AccountOwner <AcctOwnr>	[1..1]	±		431
	AccountServicer <AcctSvcr>	[1..1]	±		431
	BeneficialOwner <BnfclOwnr>	[0..*]	±		431
	BalanceDetails <BalDtls>	[0..*]			432
	BalanceForAccount <BalForAcct>	[1..*]	±		432
	Agent <Agt>	[0..*]	±	C9	433
	AccountSubLevel5 <AcctSubLv5>	[0..*]			433
	AccountIdentification <AcctId>	[1..1]	±		435
	AccountOwner <AcctOwnr>	[1..1]	±		435
	AccountServicer <AcctSvcr>	[1..1]	±		436
	BeneficialOwner <BnfclOwnr>	[0..*]	±		436
	BalanceDetails <BalDtls>	[0..*]			437
	BalanceForAccount <BalForAcct>	[1..*]	±		437
	Agent <Agt>	[0..*]	±	C9	438
	AccountSubLevel6 <AcctSubLv6>	[0..*]			438
	AccountIdentification <AcctId>	[1..1]	±		440
	AccountOwner <AcctOwnr>	[1..1]	±		440
	AccountServicer <AcctSvcr>	[1..1]	±		440
	BeneficialOwner <BnfclOwnr>	[0..*]	±		441
	BalanceDetails <BalDtls>	[0..*]			441
	BalanceForAccount <BalForAcct>	[1..*]	±		442
	Agent <Agt>	[0..*]	±	C9	442

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountSubLevel7 <AcctSubLv7>	[0..*]			443
	AccountIdentification <AcctId>	[1..1]	±		444
	AccountOwner <AcctOwnr>	[1..1]	±		445
	AccountServicer <AcctSvcr>	[1..1]	±		445
	BeneficialOwner <BnfclOwnr>	[0..*]	±		445
	BalanceDetails <BalDtls>	[0..*]			446
	BalanceForAccount <BalForAcct>	[1..*]	±		446
	Agent <Agt>	[0..*]	±	C9	447
	AccountSubLevel8 <AcctSubLv8>	[0..*]			447
	AccountIdentification <AcctId>	[1..1]	±		448
	AccountOwner <AcctOwnr>	[1..1]	±		448
	AccountServicer <AcctSvcr>	[1..1]	±		449
	BeneficialOwner <BnfclOwnr>	[0..*]	±		449
	BalanceDetails <BalDtls>	[0..*]			450
	BalanceForAccount <BalForAcct>	[1..*]	±		450
	Agent <Agt>	[0..*]	±	C9	451
	AccountSubLevel9 <AcctSubLv9>	[0..*]			451
	AccountIdentification <AcctId>	[1..1]	±		452
	AccountOwner <AcctOwnr>	[1..1]	±		452
	AccountServicer <AcctSvcr>	[1..1]	±		452
	BeneficialOwner <BnfclOwnr>	[0..*]	±		453
	BalanceDetails <BalDtls>	[0..*]			453
	BalanceForAccount <BalForAcct>	[1..*]	±		454
	Agent <Agt>	[0..*]	±	C9	454
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel9Difference <AcctSubLv9Diff>	[0..*]	±		455
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel8Difference <AcctSubLv8Diff>	[0..*]	±		456
	SupplementaryData <SplmtryData>	[0..*]	±	C11	456
	AccountSubLevel7Difference <AcctSubLv7Diff>	[0..*]	±		457
	SupplementaryData <SplmtryData>	[0..*]	±	C11	457

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountSubLevel6Difference <AcctSubLv6Diff>	[0..*]	±		457
	SupplementaryData <SplmtryData>	[0..*]	±	C11	458
	AccountSubLevel5Difference <AcctSubLv5Diff>	[0..*]	±		458
	SupplementaryData <SplmtryData>	[0..*]	±	C11	459
	AccountSubLevel4Difference <AcctSubLv4Diff>	[0..*]	±		459
	SupplementaryData <SplmtryData>	[0..*]	±	C11	459

26.4.6.6.6.1 AccountIdentification <AcctId>

Presence: [1..1]

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

AccountIdentification <AcctId> contains the following elements (see [SecuritiesAccount19](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	Name <Nm>	[0..1]	Text		1587

26.4.6.6.6.2 AccountOwner <AcctOwnr>

Presence: [1..1]

Definition: Party that legally owns the sub-account.

AccountOwner <AcctOwnr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.6.3 AccountServicer <AcctSvcr>

Presence: [1..1]

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

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.6.4 BeneficialOwner <BnfclOwnr>

Presence: [0..*]

Definition: Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

BeneficialOwner <BnfclOwnr> contains the following elements (see [BeneficialOwner2](#) on page 2398 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficialOwnerIdentification <BnfclOwnrId>	[1..1]	±		2399
	AdditionalIdentification <AddtlId>	[0..1]			2399
	Identification <Id>	[1..1]	Text		2400
	Type <Tp>	[1..1]			2400
{Or	Code <Cd>	[1..1]	CodeSet		2400
Or}	Proprietary <Prtry>	[1..1]	±		2401
	Issuer <Issr>	[0..1]	Text		2401
	IssueDate <IssDt>	[0..1]	Date		2401
	ExpiryDate <XpryDt>	[0..1]	Date		2402
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2402
	Nationality <Ntlty>	[0..1]	CodeSet	C11	2402
	DomicileCountry <DmclCtry>	[0..1]	CodeSet	C11	2402
	NonDomicileCountry <NonDmclCtry>	[0..1]	CodeSet	C11	2403
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2403
	CertificationType <CertfctnTp>	[0..1]	±		2404
	DeclarationDetails <DcltrnDtls>	[0..1]	Text		2404

26.4.6.6.6.5 BalanceDetails <BalDtls>

Presence: [0..*]

Definition: Report on the net position of a financial instrument on the sub-account (sub-account level 3), for a certain date. The agent, for example, a trade intermediary, may also be specified.

BalanceDetails <BalDtls> contains the following **AggregateHoldingBalance3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BalanceForAccount <BalForAcct>	[1..*]	±		427
	Agent <Agt>	[0..*]	±	C9	427

26.4.6.6.6.5.1 BalanceForAccount <BalForAcct>

Presence: [1..*]

Definition: Report on the net position of a financial instrument on the sub-account, for a certain date.

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateHoldingBalance1](#) on page 1684 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1684
	HoldingForm <HldgForm>	[0..1]	CodeSet		1686
	HoldingPhysicalType <HldgPhysTp>	[0..1]	CodeSet		1686
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1686
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1686

26.4.6.6.6.5.2 Agent <Agt>

Presence: [0..*]

Definition: Agent of the financial instrument, for example, a trade intermediary.

Impacted by: [C9 OrderOriginatorEligibility1Rule](#)

Agent <Agt> contains the following elements (see [Intermediary29](#) on page 2630 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2630
	Role <Role>	[1..1]	±		2630
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2630
	SupplementaryData <SplmtryData>	[0..*]	±	C8	2631

Constraints

- **OrderOriginatorEligibility1Rule**
(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

26.4.6.6.6.6 AccountSubLevel4 <AcctSubLvl4>

Presence: [0..*]

Definition: Holdings of level 4.

AccountSubLevel4 <AcctSubLv14> contains the following **AccountSubLevel14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		430
	AccountOwner <AcctOwnr>	[1..1]	±		431
	AccountServicer <AcctSvcr>	[1..1]	±		431
	BeneficialOwner <BnfclOwnr>	[0..*]	±		431
	BalanceDetails <BalDtls>	[0..*]			432
	BalanceForAccount <BalForAcct>	[1..*]	±		432
	Agent <Agt>	[0..*]	±	C9	433
	AccountSubLevel5 <AcctSubLv15>	[0..*]			433
	AccountIdentification <AcctId>	[1..1]	±		435
	AccountOwner <AcctOwnr>	[1..1]	±		435
	AccountServicer <AcctSvcr>	[1..1]	±		436
	BeneficialOwner <BnfclOwnr>	[0..*]	±		436
	BalanceDetails <BalDtls>	[0..*]			437
	BalanceForAccount <BalForAcct>	[1..*]	±		437
	Agent <Agt>	[0..*]	±	C9	438
	AccountSubLevel6 <AcctSubLv16>	[0..*]			438
	AccountIdentification <AcctId>	[1..1]	±		440
	AccountOwner <AcctOwnr>	[1..1]	±		440
	AccountServicer <AcctSvcr>	[1..1]	±		440
	BeneficialOwner <BnfclOwnr>	[0..*]	±		441
	BalanceDetails <BalDtls>	[0..*]			441
	BalanceForAccount <BalForAcct>	[1..*]	±		442
	Agent <Agt>	[0..*]	±	C9	442
	AccountSubLevel7 <AcctSubLv17>	[0..*]			443
	AccountIdentification <AcctId>	[1..1]	±		444
	AccountOwner <AcctOwnr>	[1..1]	±		445
	AccountServicer <AcctSvcr>	[1..1]	±		445
	BeneficialOwner <BnfclOwnr>	[0..*]	±		445
	BalanceDetails <BalDtls>	[0..*]			446
	BalanceForAccount <BalForAcct>	[1..*]	±		446
	Agent <Agt>	[0..*]	±	C9	447

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountSubLevel8 <AcctSubLv8>	[0..*]			447
	AccountIdentification <AcctId>	[1..1]	±		448
	AccountOwner <AcctOwnr>	[1..1]	±		448
	AccountServicer <AcctSvcr>	[1..1]	±		449
	BeneficialOwner <BnfclOwnr>	[0..*]	±		449
	BalanceDetails <BalDtls>	[0..*]			450
	BalanceForAccount <BalForAcct>	[1..*]	±		450
	Agent <Agt>	[0..*]	±	C9	451
	AccountSubLevel9 <AcctSubLv9>	[0..*]			451
	AccountIdentification <AcctId>	[1..1]	±		452
	AccountOwner <AcctOwnr>	[1..1]	±		452
	AccountServicer <AcctSvcr>	[1..1]	±		452
	BeneficialOwner <BnfclOwnr>	[0..*]	±		453
	BalanceDetails <BalDtls>	[0..*]			453
	BalanceForAccount <BalForAcct>	[1..*]	±		454
	Agent <Agt>	[0..*]	±	C9	454
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel9Difference <AcctSubLv9Diff>	[0..*]	±		455
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel8Difference <AcctSubLv8Diff>	[0..*]	±		456
	SupplementaryData <SplmtryData>	[0..*]	±	C11	456
	AccountSubLevel7Difference <AcctSubLv7Diff>	[0..*]	±		457
	SupplementaryData <SplmtryData>	[0..*]	±	C11	457
	AccountSubLevel6Difference <AcctSubLv6Diff>	[0..*]	±		457
	SupplementaryData <SplmtryData>	[0..*]	±	C11	458
	AccountSubLevel5Difference <AcctSubLv5Diff>	[0..*]	±		458
	SupplementaryData <SplmtryData>	[0..*]	±	C11	459

26.4.6.6.6.6.1 AccountIdentification <AcctId>

Presence: [1..1]

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

AccountIdentification <AcctId> contains the following elements (see [SecuritiesAccount19](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	Name <Nm>	[0..1]	Text		1587

26.4.6.6.6.6.2 AccountOwner <AcctOwnr>

Presence: [1..1]

Definition: Party that legally owns the sub-account.

AccountOwner <AcctOwnr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.6.6.3 AccountServicer <AcctSvcr>

Presence: [1..1]

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

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.6.6.4 BeneficialOwner <BnfclOwnr>

Presence: [0..*]

Definition: Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

BeneficialOwner <BnfclOwnr> contains the following elements (see [BeneficialOwner2](#) on page 2398 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficialOwnerIdentification <BnfclOwnrId>	[1..1]	±		2399
	AdditionalIdentification <AddtlId>	[0..1]			2399
	Identification <Id>	[1..1]	Text		2400
	Type <Tp>	[1..1]			2400
{Or	Code <Cd>	[1..1]	CodeSet		2400
Or}	Proprietary <Prtry>	[1..1]	±		2401
	Issuer <Issr>	[0..1]	Text		2401
	IssueDate <IssDt>	[0..1]	Date		2401
	ExpiryDate <XpryDt>	[0..1]	Date		2402
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2402
	Nationality <Ntlty>	[0..1]	CodeSet	C11	2402
	DomicileCountry <DmclCtry>	[0..1]	CodeSet	C11	2402
	NonDomicileCountry <NonDmclCtry>	[0..1]	CodeSet	C11	2403
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2403
	CertificationType <CertfctnTp>	[0..1]	±		2404
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		2404

26.4.6.6.6.6.5 BalanceDetails <BalDtls>

Presence: [0..*]

Definition: Report on the net position of a financial instrument on the sub-account (sub-account level 4), for a certain date. The agent, for example, a trade intermediary, may also be specified.

BalanceDetails <BalDtls> contains the following **AggregateHoldingBalance3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BalanceForAccount <BalForAcct>	[1..*]	±		432
	Agent <Agt>	[0..*]	±	C9	433

26.4.6.6.6.6.5.1 BalanceForAccount <BalForAcct>

Presence: [1..*]

Definition: Report on the net position of a financial instrument on the sub-account, for a certain date.

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateHoldingBalance1](#) on page 1684 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1684
	HoldingForm <HldgForm>	[0..1]	CodeSet		1686
	HoldingPhysicalType <HldgPhysTp>	[0..1]	CodeSet		1686
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1686
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1686

26.4.6.6.6.6.5.2 Agent <Agt>

Presence: [0..*]

Definition: Agent of the financial instrument, for example, a trade intermediary.

Impacted by: [C9 OrderOriginatorEligibility1Rule](#)

Agent <Agt> contains the following elements (see [Intermediary29](#) on page 2630 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2630
	Role <Role>	[1..1]	±		2630
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2630
	SupplementaryData <SplmtryData>	[0..*]	±	C8	2631

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

26.4.6.6.6.6.6 AccountSubLevel5 <AcctSubLvl5>

Presence: [0..*]

Definition: Holdings of level 5.

AccountSubLevel5 <AcctSubLv15> contains the following **AccountSubLevel15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		435
	AccountOwner <AcctOwnr>	[1..1]	±		435
	AccountServicer <AcctSvcr>	[1..1]	±		436
	BeneficialOwner <BnfclOwnr>	[0..*]	±		436
	BalanceDetails <BalDtls>	[0..*]			437
	BalanceForAccount <BalForAcct>	[1..*]	±		437
	Agent <Agt>	[0..*]	±	C9	438
	AccountSubLevel6 <AcctSubLv16>	[0..*]			438
	AccountIdentification <AcctId>	[1..1]	±		440
	AccountOwner <AcctOwnr>	[1..1]	±		440
	AccountServicer <AcctSvcr>	[1..1]	±		440
	BeneficialOwner <BnfclOwnr>	[0..*]	±		441
	BalanceDetails <BalDtls>	[0..*]			441
	BalanceForAccount <BalForAcct>	[1..*]	±		442
	Agent <Agt>	[0..*]	±	C9	442
	AccountSubLevel7 <AcctSubLv17>	[0..*]			443
	AccountIdentification <AcctId>	[1..1]	±		444
	AccountOwner <AcctOwnr>	[1..1]	±		445
	AccountServicer <AcctSvcr>	[1..1]	±		445
	BeneficialOwner <BnfclOwnr>	[0..*]	±		445
	BalanceDetails <BalDtls>	[0..*]			446
	BalanceForAccount <BalForAcct>	[1..*]	±		446
	Agent <Agt>	[0..*]	±	C9	447
	AccountSubLevel8 <AcctSubLv18>	[0..*]			447
	AccountIdentification <AcctId>	[1..1]	±		448
	AccountOwner <AcctOwnr>	[1..1]	±		448
	AccountServicer <AcctSvcr>	[1..1]	±		449
	BeneficialOwner <BnfclOwnr>	[0..*]	±		449
	BalanceDetails <BalDtls>	[0..*]			450
	BalanceForAccount <BalForAcct>	[1..*]	±		450
	Agent <Agt>	[0..*]	±	C9	451

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountSubLevel9 <AcctSubLv9>	[0..*]			451
	AccountIdentification <AcctId>	[1..1]	±		452
	AccountOwner <AcctOwnr>	[1..1]	±		452
	AccountServicer <AcctSvcr>	[1..1]	±		452
	BeneficialOwner <BnfclOwnr>	[0..*]	±		453
	BalanceDetails <BalDtls>	[0..*]			453
	BalanceForAccount <BalForAcct>	[1..*]	±		454
	Agent <Agt>	[0..*]	±	C9	454
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel9Difference <AcctSubLv9Diff>	[0..*]	±		455
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel8Difference <AcctSubLv8Diff>	[0..*]	±		456
	SupplementaryData <SplmtryData>	[0..*]	±	C11	456
	AccountSubLevel7Difference <AcctSubLv7Diff>	[0..*]	±		457
	SupplementaryData <SplmtryData>	[0..*]	±	C11	457
	AccountSubLevel6Difference <AcctSubLv6Diff>	[0..*]	±		457
	SupplementaryData <SplmtryData>	[0..*]	±	C11	458

26.4.6.6.6.6.6.1 AccountIdentification <AcctId>

Presence: [1..1]

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

AccountIdentification <AcctId> contains the following elements (see [SecuritiesAccount19 on page 1587](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	Name <Nm>	[0..1]	Text		1587

26.4.6.6.6.6.6.2 AccountOwner <AcctOwnr>

Presence: [1..1]

Definition: Party that legally owns the sub-account.

AccountOwner <AcctOwnr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.6.6.6.3 AccountServicer <AcctSvcr>

Presence: [1..1]

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

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.6.6.6.4 BeneficialOwner <BnfclOwnr>

Presence: [0..*]

Definition: Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

BeneficialOwner <BnfclOwnr> contains the following elements (see [BeneficialOwner2](#) on page 2398 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficialOwnerIdentification <BnfclOwnrId>	[1..1]	±		2399
	AdditionalIdentification <AddtlId>	[0..1]			2399
	Identification <Id>	[1..1]	Text		2400
	Type <Tp>	[1..1]			2400
{Or	Code <Cd>	[1..1]	CodeSet		2400
Or}	Proprietary <Prtry>	[1..1]	±		2401
	Issuer <Issr>	[0..1]	Text		2401
	IssueDate <IssDt>	[0..1]	Date		2401
	ExpiryDate <XpryDt>	[0..1]	Date		2402
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2402
	Nationality <Ntlty>	[0..1]	CodeSet	C11	2402
	DomicileCountry <DmclCtry>	[0..1]	CodeSet	C11	2402
	NonDomicileCountry <NonDmclCtry>	[0..1]	CodeSet	C11	2403
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2403
	CertificationType <CertfctnTp>	[0..1]	±		2404
	DeclarationDetails <DclrtnDtIs>	[0..1]	Text		2404

26.4.6.6.6.6.6.5 BalanceDetails <BalDtIs>

Presence: [0..*]

Definition: Report on the net position of a financial instrument on the sub-account (sub-account level 5), for a certain date. The agent, for example, a trade intermediary, may also be specified.

BalanceDetails <BalDtIs> contains the following **AggregateHoldingBalance3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BalanceForAccount <BalForAcct>	[1..*]	±		437
	Agent <Agt>	[0..*]	±	C9	438

26.4.6.6.6.6.6.5.1 BalanceForAccount <BalForAcct>

Presence: [1..*]

Definition: Report on the net position of a financial instrument on the sub-account, for a certain date.

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateHoldingBalance1](#) on page 1684 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1684
	HoldingForm <HldgForm>	[0..1]	CodeSet		1686
	HoldingPhysicalType <HldgPhysTp>	[0..1]	CodeSet		1686
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1686
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1686

26.4.6.6.6.6.6.5.2 Agent <Agt>

Presence: [0..*]

Definition: Agent of the financial instrument, for example, a trade intermediary.

Impacted by: [C9 OrderOriginatorEligibility1Rule](#)

Agent <Agt> contains the following elements (see [Intermediary29](#) on page 2630 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2630
	Role <Role>	[1..1]	±		2630
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2630
	SupplementaryData <SplmtryData>	[0..*]	±	C8	2631

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

26.4.6.6.6.6.6.6 AccountSubLevel6 <AcctSubLvl6>

Presence: [0..*]

Definition: Holdings of level 5.

AccountSubLevel6 <AcctSubLv16> contains the following **AccountSubLevel16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		440
	AccountOwner <AcctOwnr>	[1..1]	±		440
	AccountServicer <AcctSvcr>	[1..1]	±		440
	BeneficialOwner <BnfclOwnr>	[0..*]	±		441
	BalanceDetails <BalDtls>	[0..*]			441
	BalanceForAccount <BalForAcct>	[1..*]	±		442
	Agent <Agt>	[0..*]	±	C9	442
	AccountSubLevel7 <AcctSubLv17>	[0..*]			443
	AccountIdentification <AcctId>	[1..1]	±		444
	AccountOwner <AcctOwnr>	[1..1]	±		445
	AccountServicer <AcctSvcr>	[1..1]	±		445
	BeneficialOwner <BnfclOwnr>	[0..*]	±		445
	BalanceDetails <BalDtls>	[0..*]			446
	BalanceForAccount <BalForAcct>	[1..*]	±		446
	Agent <Agt>	[0..*]	±	C9	447
	AccountSubLevel8 <AcctSubLv18>	[0..*]			447
	AccountIdentification <AcctId>	[1..1]	±		448
	AccountOwner <AcctOwnr>	[1..1]	±		448
	AccountServicer <AcctSvcr>	[1..1]	±		449
	BeneficialOwner <BnfclOwnr>	[0..*]	±		449
	BalanceDetails <BalDtls>	[0..*]			450
	BalanceForAccount <BalForAcct>	[1..*]	±		450
	Agent <Agt>	[0..*]	±	C9	451
	AccountSubLevel9 <AcctSubLv19>	[0..*]			451
	AccountIdentification <AcctId>	[1..1]	±		452
	AccountOwner <AcctOwnr>	[1..1]	±		452
	AccountServicer <AcctSvcr>	[1..1]	±		452
	BeneficialOwner <BnfclOwnr>	[0..*]	±		453
	BalanceDetails <BalDtls>	[0..*]			453
	BalanceForAccount <BalForAcct>	[1..*]	±		454
	Agent <Agt>	[0..*]	±	C9	454

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel9Difference <AcctSubLv19Diff>	[0..*]	±		455
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel8Difference <AcctSubLv18Diff>	[0..*]	±		456
	SupplementaryData <SplmtryData>	[0..*]	±	C11	456
	AccountSubLevel7Difference <AcctSubLv17Diff>	[0..*]	±		457
	SupplementaryData <SplmtryData>	[0..*]	±	C11	457

26.4.6.6.6.6.6.6.1 AccountIdentification <AcctId>

Presence: [1..1]

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

AccountIdentification <AcctId> contains the following elements (see [SecuritiesAccount19](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	Name <Nm>	[0..1]	Text		1587

26.4.6.6.6.6.6.6.2 AccountOwner <AcctOwnr>

Presence: [1..1]

Definition: Party that legally owns the sub-account.

AccountOwner <AcctOwnr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.6.6.6.6.3 AccountServicer <AcctSvcr>

Presence: [1..1]

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

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.6.6.6.4 BeneficialOwner <BnfclOwnr>

Presence: [0..*]

Definition: Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

BeneficialOwner <BnfclOwnr> contains the following elements (see [BeneficialOwner2](#) on page 2398 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficialOwnerIdentification <BnfclOwnrId>	[1..1]	±		2399
	AdditionalIdentification <AddtlId>	[0..1]			2399
	Identification <Id>	[1..1]	Text		2400
	Type <Tp>	[1..1]			2400
{Or	Code <Cd>	[1..1]	CodeSet		2400
Or}	Proprietary <Prtry>	[1..1]	±		2401
	Issuer <Issr>	[0..1]	Text		2401
	IssueDate <IssDt>	[0..1]	Date		2401
	ExpiryDate <XpryDt>	[0..1]	Date		2402
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2402
	Nationality <Ntlty>	[0..1]	CodeSet	C11	2402
	DomicileCountry <DmclCtry>	[0..1]	CodeSet	C11	2402
	NonDomicileCountry <NonDmclCtry>	[0..1]	CodeSet	C11	2403
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2403
	CertificationType <CertfctnTp>	[0..1]	±		2404
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		2404

26.4.6.6.6.6.6.5 BalanceDetails <BalDtls>

Presence: [0..*]

Definition: Report on the net position of a financial instrument on the sub-account (sub-account level 6), for a certain date. The agent, for example, a trade intermediary, may also be specified.

BalanceDetails <BalDtls> contains the following **AggregateHoldingBalance3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BalanceForAccount <BalForAcct>	[1..*]	±		442
	Agent <Agt>	[0..*]	±	C9	442

26.4.6.6.6.6.6.6.5.1 BalanceForAccount <BalForAcct>

Presence: [1..*]

Definition: Report on the net position of a financial instrument on the sub-account, for a certain date.

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateHoldingBalance1](#) on page 1684 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1684
	HoldingForm <HldgForm>	[0..1]	CodeSet		1686
	HoldingPhysicalType <HldgPhysTp>	[0..1]	CodeSet		1686
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1686
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1686

26.4.6.6.6.6.6.6.5.2 Agent <Agt>

Presence: [0..*]

Definition: Agent of the financial instrument, for example, a trade intermediary.

Impacted by: [C9 OrderOriginatorEligibility1Rule](#)

Agent <Agt> contains the following elements (see [Intermediary29](#) on page 2630 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2630
	Role <Role>	[1..1]	±		2630
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2630
	SupplementaryData <SplmtryData>	[0..*]	±	C8	2631

Constraints

- **OrderOriginatorEligibility1Rule**
 (Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

26.4.6.6.6.6.6.6.6 AccountSubLevel7 <AcctSubLvI7>

Presence: [0..*]

Definition: Holdings of level 7.

AccountSubLevel7 <AcctSubLv7> contains the following **AccountSubLevel17** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		444
	AccountOwner <AcctOwnr>	[1..1]	±		445
	AccountServicer <AcctSvcr>	[1..1]	±		445
	BeneficialOwner <BnfclOwnr>	[0..*]	±		445
	BalanceDetails <BalDtls>	[0..*]			446
	BalanceForAccount <BalForAcct>	[1..*]	±		446
	Agent <Agt>	[0..*]	±	C9	447
	AccountSubLevel8 <AcctSubLv8>	[0..*]			447
	AccountIdentification <AcctId>	[1..1]	±		448
	AccountOwner <AcctOwnr>	[1..1]	±		448
	AccountServicer <AcctSvcr>	[1..1]	±		449
	BeneficialOwner <BnfclOwnr>	[0..*]	±		449
	BalanceDetails <BalDtls>	[0..*]			450
	BalanceForAccount <BalForAcct>	[1..*]	±		450
	Agent <Agt>	[0..*]	±	C9	451
	AccountSubLevel9 <AcctSubLv9>	[0..*]			451
	AccountIdentification <AcctId>	[1..1]	±		452
	AccountOwner <AcctOwnr>	[1..1]	±		452
	AccountServicer <AcctSvcr>	[1..1]	±		452
	BeneficialOwner <BnfclOwnr>	[0..*]	±		453
	BalanceDetails <BalDtls>	[0..*]			453
	BalanceForAccount <BalForAcct>	[1..*]	±		454
	Agent <Agt>	[0..*]	±	C9	454
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel9Difference <AcctSubLv9Diff>	[0..*]	±		455
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel8Difference <AcctSubLv8Diff>	[0..*]	±		456
	SupplementaryData <SplmtryData>	[0..*]	±	C11	456

26.4.6.6.6.6.6.6.6.1 AccountIdentification <AcctId>

Presence: [1..1]

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

AccountIdentification <AcctId> contains the following elements (see [SecuritiesAccount19](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	Name <Nm>	[0..1]	Text		1587

26.4.6.6.6.6.6.6.2 AccountOwner <AcctOwnr>

Presence: [1..1]

Definition: Party that legally owns the sub-account.

AccountOwner <AcctOwnr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.6.6.6.6.3 AccountServicer <AcctSvcr>

Presence: [1..1]

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

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.6.6.6.6.4 BeneficialOwner <BnfclOwnr>

Presence: [0..*]

Definition: Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

BeneficialOwner <BnfclOwnr> contains the following elements (see [BeneficialOwner2](#) on page 2398 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficialOwnerIdentification <BnfclOwnrId>	[1..1]	±		2399
	AdditionalIdentification <AddtlId>	[0..1]			2399
	Identification <Id>	[1..1]	Text		2400
	Type <Tp>	[1..1]			2400
{Or	Code <Cd>	[1..1]	CodeSet		2400
Or}	Proprietary <Prtry>	[1..1]	±		2401
	Issuer <Issr>	[0..1]	Text		2401
	IssueDate <IssDt>	[0..1]	Date		2401
	ExpiryDate <XpryDt>	[0..1]	Date		2402
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2402
	Nationality <Ntlty>	[0..1]	CodeSet	C11	2402
	DomicileCountry <DmclCtry>	[0..1]	CodeSet	C11	2402
	NonDomicileCountry <NonDmclCtry>	[0..1]	CodeSet	C11	2403
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2403
	CertificationType <CertfctnTp>	[0..1]	±		2404
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		2404

26.4.6.6.6.6.6.6.6.5 BalanceDetails <BalDtls>

Presence: [0..*]

Definition: Report on the net position of a financial instrument on the sub-account (sub-account level 7), for a certain date. The agent, for example, a trade intermediary, may also be specified.

BalanceDetails <BalDtls> contains the following **AggregateHoldingBalance3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BalanceForAccount <BalForAcct>	[1..*]	±		446
	Agent <Agt>	[0..*]	±	C9	447

26.4.6.6.6.6.6.6.6.5.1 BalanceForAccount <BalForAcct>

Presence: [1..*]

Definition: Report on the net position of a financial instrument on the sub-account, for a certain date.

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateHoldingBalance1](#) on page 1684 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1684
	HoldingForm <HldgForm>	[0..1]	CodeSet		1686
	HoldingPhysicalType <HldgPhysTp>	[0..1]	CodeSet		1686
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1686
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1686

26.4.6.6.6.6.6.6.6.5.2 Agent <Agt>

Presence: [0..*]

Definition: Agent of the financial instrument, for example, a trade intermediary.

Impacted by: [C9 OrderOriginatorEligibility1Rule](#)

Agent <Agt> contains the following elements (see [Intermediary29](#) on page 2630 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2630
	Role <Role>	[1..1]	±		2630
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2630
	SupplementaryData <SplmtryData>	[0..*]	±	C8	2631

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

26.4.6.6.6.6.6.6.6.6 AccountSubLevel8 <AcctSubLv18>

Presence: [0..*]

Definition: Holdings of level 8.

AccountSubLevel8 <AcctSubLv18> contains the following **AccountSubLevel18** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		448
	AccountOwner <AcctOwnr>	[1..1]	±		448
	AccountServicer <AcctSvcr>	[1..1]	±		449
	BeneficialOwner <BnfclOwnr>	[0..*]	±		449
	BalanceDetails <BalDtls>	[0..*]			450
	BalanceForAccount <BalForAcct>	[1..*]	±		450
	Agent <Agt>	[0..*]	±	C9	451
	AccountSubLevel9 <AcctSubLv19>	[0..*]			451
	AccountIdentification <AcctId>	[1..1]	±		452
	AccountOwner <AcctOwnr>	[1..1]	±		452
	AccountServicer <AcctSvcr>	[1..1]	±		452
	BeneficialOwner <BnfclOwnr>	[0..*]	±		453
	BalanceDetails <BalDtls>	[0..*]			453
	BalanceForAccount <BalForAcct>	[1..*]	±		454
	Agent <Agt>	[0..*]	±	C9	454
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455
	AccountSubLevel9Difference <AcctSubLv19Diff>	[0..*]	±		455
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455

26.4.6.6.6.6.6.6.6.6.1 AccountIdentification <AcctId>

Presence: [1..1]

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

AccountIdentification <AcctId> contains the following elements (see [SecuritiesAccount19](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	Name <Nm>	[0..1]	Text		1587

26.4.6.6.6.6.6.6.6.6.2 AccountOwner <AcctOwnr>

Presence: [1..1]

Definition: Party that legally owns the sub-account.

AccountOwner <AcctOwnr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.6.6.6.6.6.6.3 AccountServicer <AcctSvcr>

Presence: [1..1]

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

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.6.6.6.6.6.6.4 BeneficialOwner <BnfcIOwnr>

Presence: [0..*]

Definition: Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

BeneficialOwner <BnfclOwnr> contains the following elements (see [BeneficialOwner2](#) on page 2398 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficialOwnerIdentification <BnfclOwnrId>	[1..1]	±		2399
	AdditionalIdentification <AddtlId>	[0..1]			2399
	Identification <Id>	[1..1]	Text		2400
	Type <Tp>	[1..1]			2400
{Or	Code <Cd>	[1..1]	CodeSet		2400
Or}	Proprietary <Prtry>	[1..1]	±		2401
	Issuer <Issr>	[0..1]	Text		2401
	IssueDate <IssDt>	[0..1]	Date		2401
	ExpiryDate <XpryDt>	[0..1]	Date		2402
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2402
	Nationality <Ntlty>	[0..1]	CodeSet	C11	2402
	DomicileCountry <DmclCtry>	[0..1]	CodeSet	C11	2402
	NonDomicileCountry <NonDmclCtry>	[0..1]	CodeSet	C11	2403
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2403
	CertificationType <CertfctnTp>	[0..1]	±		2404
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		2404

26.4.6.6.6.6.6.6.6.6.5 BalanceDetails <BalDtls>

Presence: [0..*]

Definition: Report on the net position of a financial instrument on the sub-account (sub-account level 8), for a certain date. The agent, for example, a trade intermediary, may also be specified.

BalanceDetails <BalDtls> contains the following **AggregateHoldingBalance3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BalanceForAccount <BalForAcct>	[1..*]	±		450
	Agent <Agt>	[0..*]	±	C9	451

26.4.6.6.6.6.6.6.6.6.5.1 BalanceForAccount <BalForAcct>

Presence: [1..*]

Definition: Report on the net position of a financial instrument on the sub-account, for a certain date.

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateHoldingBalance1](#) on page 1684 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1684
	HoldingForm <HldgForm>	[0..1]	CodeSet		1686
	HoldingPhysicalType <HldgPhysTp>	[0..1]	CodeSet		1686
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1686
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1686

26.4.6.6.6.6.6.6.6.6.6.5.2 Agent <Agt>

Presence: [0..*]

Definition: Agent of the financial instrument, for example, a trade intermediary.

Impacted by: [C9 OrderOriginatorEligibility1Rule](#)

Agent <Agt> contains the following elements (see [Intermediary29](#) on page 2630 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2630
	Role <Role>	[1..1]	±		2630
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2630
	SupplementaryData <SplmtryData>	[0..*]	±	C8	2631

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

26.4.6.6.6.6.6.6.6.6.6.6.6 AccountSubLevel9 <AcctSubLvl9>

Presence: [0..*]

Definition: Holdings of level 9.

AccountSubLevel9 <AcctSubLv9> contains the following **AccountSubLevel19** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		452
	AccountOwner <AcctOwnr>	[1..1]	±		452
	AccountServicer <AcctSvcr>	[1..1]	±		452
	BeneficialOwner <BnfclOwnr>	[0..*]	±		453
	BalanceDetails <BalDtls>	[0..*]			453
	BalanceForAccount <BalForAcct>	[1..*]	±		454
	Agent <Agt>	[0..*]	±	C9	454
	SupplementaryData <SplmtryData>	[0..*]	±	C11	455

26.4.6.6.6.6.6.6.6.6.6.1 AccountIdentification <AcctId>

Presence: [1..1]

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

AccountIdentification <AcctId> contains the following elements (see [SecuritiesAccount19](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	Name <Nm>	[0..1]	Text		1587

26.4.6.6.6.6.6.6.6.6.6.2 AccountOwner <AcctOwnr>

Presence: [1..1]

Definition: Party that legally owns the sub-account.

AccountOwner <AcctOwnr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.6.6.6.6.6.6.6.3 AccountServicer <AcctSvcr>

Presence: [1..1]

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

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

26.4.6.6.6.6.6.6.6.6.4 BeneficialOwner <BnfclOwnr>

Presence: [0..*]

Definition: Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

BeneficialOwner <BnfclOwnr> contains the following elements (see [BeneficialOwner2](#) on page 2398 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficialOwnerIdentification <BnfclOwnrId>	[1..1]	±		2399
	AdditionalIdentification <AddtlId>	[0..1]			2399
	Identification <Id>	[1..1]	Text		2400
	Type <Tp>	[1..1]			2400
{Or	Code <Cd>	[1..1]	CodeSet		2400
Or}	Proprietary <Prtry>	[1..1]	±		2401
	Issuer <Issr>	[0..1]	Text		2401
	IssueDate <IssDt>	[0..1]	Date		2401
	ExpiryDate <XpryDt>	[0..1]	Date		2402
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2402
	Nationality <Ntlty>	[0..1]	CodeSet	C11	2402
	DomicileCountry <DmclCtry>	[0..1]	CodeSet	C11	2402
	NonDomicileCountry <NonDmclCtry>	[0..1]	CodeSet	C11	2403
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2403
	CertificationType <CertfctnTp>	[0..1]	±		2404
	DeclarationDetails <DcltrnDtls>	[0..1]	Text		2404

26.4.6.6.6.6.6.6.6.6.5 BalanceDetails <BalDtls>

Presence: [0..*]

Definition: Report on the net position of a financial instrument on the sub-account (sub-account level 9), for a certain date. The agent, for example, a trade intermediary, may also be specified.

BalanceDetails <BalDtls> contains the following **AggregateHoldingBalance3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BalanceForAccount <BalForAcct>	[1..*]	±		454
	Agent <Agt>	[0..*]	±	C9	454

26.4.6.6.6.6.6.6.6.6.6.5.1 BalanceForAccount <BalForAcct>

Presence: [1..*]

Definition: Report on the net position of a financial instrument on the sub-account, for a certain date.

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateHoldingBalance1](#) on page 1684 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1684
	HoldingForm <HldgForm>	[0..1]	CodeSet		1686
	HoldingPhysicalType <HldgPhysTp>	[0..1]	CodeSet		1686
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1686
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1686

26.4.6.6.6.6.6.6.6.6.6.5.2 Agent <Agt>

Presence: [0..*]

Definition: Agent of the financial instrument, for example, a trade intermediary.

Impacted by: [C9 OrderOriginatorEligibility1Rule](#)

Agent <Agt> contains the following elements (see [Intermediary29](#) on page 2630 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2630
	Role <Role>	[1..1]	±		2630
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2630
	SupplementaryData <SplmtryData>	[0..*]	±	C8	2631

Constraints

- **OrderOriginatorEligibility1Rule**
 (Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

26.4.6.6.6.6.6.6.6.6.6 SupplementaryData <SPlmtryData>

Presence: [0..*]

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

Impacted by: [C11 SupplementaryDataRule](#)

SupplementaryData <SPlmtryData> contains the following elements (see [SupplementaryData1](#) on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

26.4.6.6.6.6.6.6.6.6.7 AccountSubLevel9Difference <AcctSubLvl9Diff>

Presence: [0..*]

Definition: Difference in holdings between the sub-account at level 8 and the sub-accounts of level 9.

AccountSubLevel9Difference <AcctSubLvl9Diff> contains the following elements (see [AggregateHoldingBalance2](#) on page 1681 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1681
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1683
	SupplementaryData <SPlmtryData>	[0..*]	±	C8	1683

26.4.6.6.6.6.6.6.6.6.8 SupplementaryData <SPlmtryData>

Presence: [0..*]

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

Impacted by: [C11 SupplementaryDataRule](#)

SupplementaryData <SpmtryData> contains the following elements (see [SupplementaryData1](#) on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

26.4.6.6.6.6.6.6.6.7 AccountSubLevel8Difference <AcctSubLv8Diff>

Presence: [0..*]

Definition: Difference in holdings between the sub-account at level 7 and the sub-accounts of level 8.

AccountSubLevel8Difference <AcctSubLv8Diff> contains the following elements (see [AggregateHoldingBalance2](#) on page 1681 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1681
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1683
	SupplementaryData <SpmtryData>	[0..*]	±	C8	1683

26.4.6.6.6.6.6.6.6.8 SupplementaryData <SpmtryData>

Presence: [0..*]

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

Impacted by: [C11 SupplementaryDataRule](#)

SupplementaryData <SpmtryData> contains the following elements (see [SupplementaryData1](#) on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

26.4.6.6.6.6.6.6.7 AccountSubLevel7Difference <AcctSubLv7Diff>

Presence: [0..*]

Definition: Difference in holdings between the sub-account at level 6 and the sub-accounts of level 7.

AccountSubLevel7Difference <AcctSubLv7Diff> contains the following elements (see [AggregateHoldingBalance2](#) on page 1681 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1681
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1683
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1683

26.4.6.6.6.6.6.6.8 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: [C11 SupplementaryDataRule](#)

SupplementaryData <SplmtryData> contains the following elements (see [SupplementaryData1](#) on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

26.4.6.6.6.6.6.6.7 AccountSubLevel6Difference <AcctSubLv6Diff>

Presence: [0..*]

Definition: Difference in holdings between the safekeeping account and the sub-accounts of level 6.

AccountSubLevel6Difference <AcctSubLv6Diff> contains the following elements (see [AggregateHoldingBalance2](#) on page 1681 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1681
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1683
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1683

26.4.6.6.6.6.6.8 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: [C11 SupplementaryDataRule](#)

SupplementaryData <SplmtryData> contains the following elements (see [SupplementaryData1](#) on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

26.4.6.6.6.6.6.7 AccountSubLevel5Difference <AcctSubLv5Diff>

Presence: [0..*]

Definition: Difference in holdings between the sub-account at level 4 and the sub-accounts of level 5.

AccountSubLevel5Difference <AcctSubLv5Diff> contains the following elements (see [AggregateHoldingBalance2](#) on page 1681 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1681
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1683
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1683

26.4.6.6.6.6.8 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: [C11 SupplementaryDataRule](#)

SupplementaryData <SplmtryData> contains the following elements (see [SupplementaryData1](#) on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

26.4.6.6.6.6.7 AccountSubLevel4Difference <AcctSubLvl4Diff>

Presence: [0..*]

Definition: Difference in holdings between the sub-account at level 3 and the sub-accounts of level 4.

AccountSubLevel4Difference <AcctSubLvl4Diff> contains the following elements (see [AggregateHoldingBalance2](#) on page 1681 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1681
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1683
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1683

26.4.6.6.6.6.8 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: [C11 SupplementaryDataRule](#)

SupplementaryData <SpmtryData> contains the following elements (see [SupplementaryData1](#) on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

26.4.6.6.6.7 AccountSubLevel3Difference <AcctSubLvl3Diff>

Presence: [0..*]

Definition: Difference in holdings between the sub-account at level 2 and the sub-accounts of level 3.

AccountSubLevel3Difference <AcctSubLvl3Diff> contains the following elements (see [AggregateHoldingBalance2](#) on page 1681 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1681
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1683
	SupplementaryData <SpmtryData>	[0..*]	±	C8	1683

26.4.6.6.6.8 SupplementaryData <SpmtryData>

Presence: [0..*]

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

Impacted by: [C11 SupplementaryDataRule](#)

SupplementaryData <SpmtryData> contains the following elements (see [SupplementaryData1](#) on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

26.4.6.6.7 AccountSubLevel2Difference <AcctSubLvl2Diff>

Presence: [0..*]

Definition: Difference in holdings between the sub-account at level 1 and sub-accounts of level 2.

AccountSubLevel2Difference <AcctSubLvl2Diff> contains the following elements (see [AggregateHoldingBalance2](#) on page 1681 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1681
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1683
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1683

26.4.6.6.8 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: [C11 SupplementaryDataRule](#)

SupplementaryData <SplmtryData> contains the following elements (see [SupplementaryData1](#) on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

26.4.6.7 AccountSubLevel1Difference <AcctSubLvl1Diff>

Presence: [0..*]

Definition: Difference in holdings between the safekeeping account and the sub-accounts of level 1.

AccountSubLevel1Difference <AcctSubLv1Diff> contains the following elements (see [AggregateHoldingBalance2](#) on page 1681 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1681
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1683
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1683

26.4.7 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: [C11 SupplementaryDataRule](#)

SupplementaryData <SplmtryData> contains the following elements (see [SupplementaryData1](#) on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

27 MX semt.042.001.01 SecuritiesBalanceTransparencyReportStatus AdviceV01

27.1 MessageDefinition Functionality

SCOPE

An account owner, such as a custodian, central securities depository, international securities depository or transfer agent, sends the SecuritiesBalanceTransparencyReportStatusAdvice message in response to a SecuritiesBalanceTransparencyReport, to accept or reject the statement of holdings as sent in a SecuritiesBalanceTransparencyReport.

USAGE

The SecuritiesBalanceTransparencyReportStatusAdvice is used to accept (Accepted), partially accept (Accepted With Exception) or reject (Rejected) a previously received SecuritiesBalanceTransparencyReport.

Outline

The SecuritiesBalanceTransparencyReportStatusAdviceV01 MessageDefinition is composed of 7 MessageBuildingBlocks:

- A. MessageIdentification
Unique and unambiguous identification of the status advice message.
- B. SenderIdentification
Identification of the party that is the sender of the status advice message.
- C. ReceiverIdentification
Identification of the party that is the receiver of the status advice message.
- D. RelatedStatement
Reference of the statement for which the status advice has been issued.
- E. Status
Status of the referenced statement.
- F. NumberOfItemsPerStatus
Number of items for each identical transaction status.
- G. SupplementaryData
Additional information that cannot be captured in the structured elements and/or any other specific block.

27.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ScitiesBalTrnsprncyRptStsAdv>	[1..1]			
	MessageIdentification <Msgld>	[1..1]	±		466
	SenderIdentification <Sndrld>	[1..1]	±		466
	ReceiverIdentification <Rcvrld>	[0..1]	±		466
	RelatedStatement <RltdStmt>	[1..1]			467
	StatementIdentification <Stmtd>	[1..1]	Text		467
	StatementDateTime <StmtdtTm>	[1..1]	±		467
	Pagination <Pgntn>	[0..1]	±		467
	Status <Sts>	[1..1]			467
{Or	Accepted <Acctpd>	[1..1]	CodeSet		468
Or	AcceptedWithException <AcctpdWthXcptn>	[1..*]	±		468
Or}	Rejected <Rjctd>	[1..1]	±		468
	NumberOfItemsPerStatus <NbOfItmsPerSts>	[0..2]			469
	Status <Sts>	[1..1]	CodeSet		469
	NumberOfItems <NbOfItms>	[1..1]	Text		469
	SupplementaryData <SplmtryData>	[0..*]	±	C8	470

27.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C3 DescriptionPresenceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00192
- *Error Text:* At least one identification must be present.

C4 DescriptionUsageRule

(Rule)

Description must be used alone as the last resort.

C5 ISINGuideline

(Rule)

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

C6 ISINPresenceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00194
- *Error Text:* At least one identification must be present.

C7 OtherIdentificationPresenceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00193
- *Error Text:* At least one identification must be present.

C8 SupplementaryDataRule

(Rule)

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.

27.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

27.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Unique and unambiguous identification of the status advice message.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

27.4.2 SenderIdentification <SndrId>

Presence: [1..1]

Definition: Identification of the party that is the sender of the status advice message.

SenderIdentification <SndrId> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

27.4.3 ReceiverIdentification <RcvrId>

Presence: [0..1]

Definition: Identification of the party that is the receiver of the status advice message.

ReceiverIdentification <RcvrId> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

27.4.4 RelatedStatement <RltdStmt>

Presence: [1..1]

Definition: Reference of the statement for which the status advice has been issued.

RelatedStatement <RltdStmt> contains the following **StatementReference1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementIdentification <StmIld>	[1..1]	Text		467
	StatementDateTime <StmDtTm>	[1..1]	±		467
	Pagination <Pgntn>	[0..1]	±		467

27.4.4.1 StatementIdentification <StmIld>

Presence: [1..1]

Definition: Reference common to all pages of the statement for which the status advice is sent.

Datatype: [Max35Text on page 3409](#)

27.4.4.2 StatementDateTime <StmDtTm>

Presence: [1..1]

Definition: Date and time the statement was created.

StatementDateTime <StmDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

27.4.4.3 Pagination <Pgntn>

Presence: [0..1]

Definition: Page number of the related message (within the statement) and continuation indicator to indicate that the statement is to continue or that the related message is the last page of the statement.

Pagination <Pgntn> contains the following elements (see [Pagination on page 2472](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

27.4.5 Status <Sts>

Presence: [1..1]

Definition: Status of the referenced statement.

Status <Sts> contains one of the following **ReportItemStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Accepted <Accptd>	[1..1]	CodeSet		468
Or	AcceptedWithException <AccptdWthXcptn>	[1..*]	±		468
Or}	Rejected <Rjctd>	[1..1]	±		468

27.4.5.1 Accepted <Accptd>

Presence: [1..1]

Definition: Statement is accepted.

Datatype: [NoReasonCode](#) on page 3316

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

27.4.5.2 AcceptedWithException <AccptdWthXcptn>

Presence: [1..*]

Definition: Statement is accepted with an exception/s.

AcceptedWithException <AccptdWthXcptn> contains the following elements (see [ReportItemStatus1](#) on page 2984 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Exception <Xcptn>	[1..1]	±		2985
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2985
	ReportItem <Rptltn>	[0..*]			2985
	AccountIdentification <AcctId>	[1..1]	±		2986
	AccountLevel <AcctLvl>	[1..1]	CodeSet		2986
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C3, C4, C5, C6, C7	2987
	ItemDate <ItmDt>	[0..1]	Date		2988

27.4.5.3 Rejected <Rjctd>

Presence: [1..1]

Definition: Statement is rejected.

Rejected <Rjctd> contains the following elements (see [ReportItemStatus1](#) on page 2984 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Exception <Xcptn>	[1..1]	±		2985
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2985
	ReportItem <RptItm>	[0..*]			2985
	AccountIdentification <AcctId>	[1..1]	±		2986
	AccountLevel <AcctLvl>	[1..1]	CodeSet		2986
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C3, C4, C5, C6, C7	2987
	ItemDate <ItmDt>	[0..1]	Date		2988

27.4.6 NumberOfItemsPerStatus <NbOfItmsPerSts>

Presence: [0..2]

Definition: Number of items for each identical transaction status.

NumberOfItemsPerStatus <NbOfItmsPerSts> contains the following **NumberOfItemsPerStatus1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	CodeSet		469
	NumberOfItems <NbOfItms>	[1..1]	Text		469

27.4.6.1 Status <Sts>

Presence: [1..1]

Definition: Common status of the report items for which the number of report items is specified in NumberOfItems.

Datatype: [ReportItemStatus1Code](#) on page 3346

CodeName	Name	Definition
ACPD	Accepted	Entry has been accepted by the receiver of the report.
REJT	Rejected	Entry has been rejected by the receiver of the report.

27.4.6.2 NumberOfItems <NbOfItms>

Presence: [1..1]

Definition: Number of items for the status.

Datatype: [Max15NumericText](#) on page 3408

27.4.7 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: [C8 SupplementaryDataRule](#)

SupplementaryData <SplmtryData> contains the following elements (see [SupplementaryData1 on page 2471](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

28 MX sese.001.001.09 TransferOutInstructionV09

28.1 MessageDefinition Functionality

Scope

The TransferOutInstruction message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the delivery of a financial instrument, free of payment, on a given date from a specified party.

This message may also be used to instruct the delivery of a financial instrument, free of payment, to another of the instructing parties own accounts or to a third party.

Usage

The TransferOutInstruction message is used to instruct the withdrawal of a financial instrument from one account and deliver it to either another account or to a third party.

Outline

The TransferOutInstructionV09 MessageDefinition is composed of 11 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. RelatedReference
Reference to a linked message that was previously received.
- E. MasterReference
Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.
- F. TransferDetails
General information related to the transfer of the financial instrument.
- G. AccountDetails
Information related to the account from which the financial instrument is to be withdrawn.
- H. SettlementDetails
Information related to the receiving side of the transfer.
- I. MarketPracticeVersion
Identifies the market practice to which the message conforms.
- J. CopyDetails

Information provided when the message is a copy of a previous message.

K. Extension

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

28.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrfOutInstr>	[1..1]		C25	
	MessageIdentification <MsgId>	[1..1]	±		478
	PoolReference <PoolRef>	[0..1]	±		478
	PreviousReference <PrvsRef>	[0..1]	±		479
	RelatedReference <RltdRef>	[0..1]	±		479
	MasterReference <MstrRef>	[0..1]	Text		479
	TransferDetails <TrfDtls>	[1..*]	±	C27	479
	AccountDetails <AcctDtls>	[1..1]	±		480
	SettlementDetails <SttlmDtls>	[0..1]	±	C23, C24	481
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		483
	CopyDetails <CpyDtls>	[0..1]	±		483
	Extension <Xtnsn>	[0..*]	±	C14	483

28.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AdditonalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C4 AdditonalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C5 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 AppliedAmountRule

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

C7 BookTransferGuideline

(Rule)

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on www.smpg.info.

C8 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C10 CurrencyAmount

(Rule)

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

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 DepositoryGuideline

(Rule)

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on www.smpg.info.

C12 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C13 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C14 ExtensionRule

(Rule)

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

C15 FeeTaxElementRule

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C16 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

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

C17 NameAndAddress1Rule

(Rule)

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

C18 NonStandardsSLAReferenceRule

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

C19 Party2PresenceRule

(Rule)

If Party2 is present, then Party1 must be present. (CrossElementComplexRule)

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00128

– *Error Text:* Party1 must be present.

C20 Party3PresenceRule

(Rule)

If Party3 is present, then Party2 must be present. (CrossElementComplexRule)

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00129

– *Error Text:* Party2 must be present.

C21 Party4PresenceRule

(Rule)

If Party4 is present, then Party3 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00130
- *Error Text:* Party3 must be present.

C22 Party5PresenceRule

(Rule)

If Party5 is present, then Party4 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00131
- *Error Text:* Party4 must be present.

C23 PhysicalTransferDetails1Rule

(Rule)

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00450
- *Error Text:* PhysicalTransferDetails must be present.

C24 PhysicalTransferDetails2Rule

(Rule)

If PhysicalTransfer is DEMT (Dematerialised), then PhysicalTransferDetails is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00451
- *Error Text:* PhysicalTransferDetails is not allowed.

C25 RequestedSettlementDateRule

(Rule)

Either TransferDetails/RequestedSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/RequestedSettlementDate may be present, but not both.

This constraint is defined at the MessageDefinition level.

C26 SettlementChainGuideline

(Rule)

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on www.smpg.info.

C27 TotalUnitsNumberRule

(Rule)

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

C28 TransactionOverheadElementRule

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

28.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

28.4.1 MessageIdentification <MsgId>

Presence: [1..1]

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

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

28.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference11](#) on page 2001 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2001
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2002

28.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

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

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

28.4.4 RelatedReference <RltdRef>

Presence: [0..1]

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

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

28.4.5 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: [Max35Text](#) on page 3409

28.4.6 TransferDetails <TrfDtls>

Presence: [1..*]

Definition: General information related to the transfer of the financial instrument.

Impacted by: C27 TotalUnitsNumberRule

TransferDetails <TrfDtls> contains the following elements (see Transfer36 on page 3151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferReference <TrfRef>	[1..1]	Text		3152
	ClientReference <ClntRef>	[0..1]	±		3152
	CounterpartyReference <CtrPtyRef>	[0..1]	±		3152
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		3152
	RequestedTransferDate <ReqdTrfDt>	[0..1]	±		3153
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		3153
	TransferOrderDateForm <TrfOrdrDtForm>	[0..1]	Date		3153
	TransferReason <TrfRsn>	[0..1]	±		3153
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		3153
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C16	3154
	Quantity <Qty>	[1..1]	±		3154
	UnitsDetails <UnitsDtls>	[0..*]	±		3155
	Rounding <Rndg>	[0..1]	CodeSet		3156
	OriginalCost <OrgnlCost>	[0..1]	Amount	C2	3156
	AveragePrice <AvrgPric>	[0..1]	Amount	C3	3156
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	3157
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		3157
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		3157
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		3157

Constraints

- **TotalUnitsNumberRule**

(Rule)

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

28.4.7 AccountDetails <AcctDtls>

Presence: [1..1]

Definition: Information related to the account from which the financial instrument is to be withdrawn.

AccountDetails <AcctDtls> contains the following elements (see [InvestmentAccount70](#) on page 2072 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..*]	±		2072
	AccountIdentification <AcctId>	[1..1]	Text		2073
	AccountName <AcctNm>	[0..1]	Text		2073
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2073
	AccountServicer <AcctSvcr>	[0..1]	±		2073
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2073
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2074
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		2074
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2074
	IncomePreference <IncmPref>	[0..1]	CodeSet		2075
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2075
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2075
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2076

28.4.8 SettlementDetails <SttlmDtls>

Presence: [0..1]

Definition: Information related to the receiving side of the transfer.

Impacted by: [C23 PhysicalTransferDetails1Rule](#), [C24 PhysicalTransferDetails2Rule](#)

SettlementDetails <SttlmDtls> contains the following elements (see [ReceiveInformation21](#) on page 3206 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferee <Trfee>	[0..1]	±		3208
	TransfereeRegisteredAccount <TrfeeRegdAcct>	[0..1]	±		3208
	IntermediaryInformation <IntrmyInf>	[0..*]	±		3208
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		3209
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		3209
	IncomePreference <IncmPref>	[0..1]	CodeSet		3209
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		3210
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		3210
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		3210
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	3210
	StampDuty <StmpDty>	[0..1]	CodeSet		3211
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	3211
	Fees <Fees>	[0..*]	±	C15	3212
	IndividualTax <IndvTax>	[0..*]	±		3213
	ForeignExchangeDetails <FXDtls>	[0..*]	±		3213
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		3214
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		3215
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	3215
	ClientReference <ClntRef>	[0..1]	±		3216

Constraints

• **PhysicalTransferDetails1Rule**

(Rule)

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00450

– *Error Text:* PhysicalTransferDetails must be present.

• **PhysicalTransferDetails2Rule**

(Rule)

If PhysicalTransfer is DEMENT (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00451

– *Error Text:* PhysicalTransferDetails is not allowed.

28.4.9 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

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

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

28.4.10 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation5](#) on page 2374 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2374
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	2374

28.4.11 Extension <Xtnsn>

Presence: [0..*]

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

Impacted by: [C14 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1 on page 2472](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

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

29 MX sese.002.001.09 TransferOutCancellationRequestV09

29.1 MessageDefinition Functionality

Scope

The TransferOutCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent transfer out instruction.

Usage

The TransferOutCancellationRequest message is used to request the cancellation of one or more transfer out instructions.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more transfer out instructions, the transfer reference of the transfer, as specified in the original TransferOutInstruction message, is specified in the transfer reference element.

The message identification of the original TransferOutInstruction message may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a TransferOutCancellationRequest is made using a TransferCancellationStatusReport message.

Outline

The TransferOutCancellationRequestV09 MessageDefinition is composed of 8 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

F. TransferReferences

Reference of the transfer to be cancelled.

G. MarketPracticeVersion

Identifies the market practice to which the message conforms.

H. CopyDetails

Information provided when the message is a copy of a previous message.

29.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrfOutCxlReq>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		487
	PoolReference <PoolRef>	[0..1]	±		487
	PreviousReference <PrvsRef>	[0..1]	±		488
	RelatedReference <RltdRef>	[0..1]	±		488
	MasterReference <MstrRef>	[0..1]	Text		488
	TransferReferences <TrfRefs>	[1..*]			488
	TransferReference <TrfRef>	[1..1]	Text		489
	ClientReference <CIntRef>	[0..1]	±		489
	CounterpartyReference <CtrPtyRef>	[0..1]	±		489
	CancellationReference <CxlRef>	[0..1]	Text		490
	CancellationReason <CxlRsn>	[0..1]	Text		490
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		490
	CopyDetails <CpyDtls>	[0..1]	±		490

29.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

29.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

29.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

29.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference11](#) on page 2001 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2001
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2002

29.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

29.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

29.4.5 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: [Max35Text](#) on page 3409

29.4.6 TransferReferences <TrfRefs>

Presence: [1..*]

Definition: Reference of the transfer to be cancelled.

TransferReferences <TrfRefs> contains the following **TransferReference15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferReference <TrfRef>	[1..1]	Text		489
	ClientReference <ClntRef>	[0..1]	±		489
	CounterpartyReference <CtrPtyRef>	[0..1]	±		489
	CancellationReference <CxlRef>	[0..1]	Text		490
	CancellationReason <CxlRsn>	[0..1]	Text		490

29.4.6.1 TransferReference <TrfRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the transfer instruction for which the cancellation request is sent, as assigned by the instructing party.

Datatype: Max35Text on page 3409

29.4.6.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <ClntRef> contains the following elements (see AdditionalReference10 on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

29.4.6.3 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

Definition: Unambiguous identification of the transfer allocated by the counterparty.

CounterpartyReference <CtrPtyRef> contains the following elements (see AdditionalReference10 on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

29.4.6.4 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the transfer cancellation, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

29.4.6.5 CancellationReason <CxlRsn>

Presence: [0..1]

Definition: Reason for the cancellation.

Datatype: [Max35Text on page 3409](#)

29.4.7 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1 on page 2452](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

29.4.8 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation5 on page 2374](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2374
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	2374

30 **MX sese.003.001.09** **TransferOutConfirmationV09**

30.1 **MessageDefinition Functionality**

The TransferOutConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the delivery of a financial instrument, free of payment, on a given date, to a specified party.

This message may also be used to confirm the delivery of a financial instrument, free of payment, to another of the instructing parties own accounts or to a third party.

Usage

The TransferOutConfirmation message is used to confirm the withdrawal of a financial instrument from the owner's account and its delivery to another own account, or to a third party, has taken place.

The reference of the transfer confirmation is identified in TransferConfirmationReference. The reference of the original transfer instruction is specified in TransferReference. The message identification of the TransferOutInstruction message in which the transfer instruction was conveyed may also be quoted in RelatedReference but this is not recommended.

Outline

The TransferOutConfirmationV09 MessageDefinition is composed of 11 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. RelatedReference
Reference to a linked message that was previously received.
- E. MasterReference
Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.
- F. TransferDetails
General information related to the transfer of the financial instrument.
- G. AccountDetails
Information related to the account from which the financial instrument was withdrawn.
- H. SettlementDetails
Information related to the receiving side of the transfer.
- I. MarketPracticeVersion

Identifies the market practice to which the message conforms.

J. CopyDetails

Information provided when the message is a copy of a previous message.

K. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

30.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrfOutConf>	[1..1]		C14, C26	
	MessageIdentification <MsgId>	[1..1]	±		498
	PoolReference <PoolRef>	[0..1]	±		498
	PreviousReference <PrvsRef>	[0..1]	±		499
	RelatedReference <RltdRef>	[0..1]	±		499
	MasterReference <MstrRef>	[0..1]	Text		499
	TransferDetails <TrfDtls>	[1..*]	±	C28	500
	AccountDetails <AcctDtls>	[1..1]	±		501
	SettlementDetails <SttlmDtls>	[0..1]	±	C24, C25	501
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		503
	CopyDetails <CpyDtls>	[0..1]	±		503
	Extension <Xtnsn>	[0..*]	±	C15	504

30.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- Error severity: Fatal
- Error Code: D00005

- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AdditonalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C4 AdditonalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C5 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 AppliedAmountRule

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

C7 BookTransferGuideline

(Rule)

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on www.smpg.info.

C8 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C10 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 DepositoryGuideline

(Rule)

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on www.smpg.info.

C12 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C13 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C14 EffectiveSettlementDateRule

(Rule)

Either TransferDetails/EffectiveSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/EffectiveSettlementDate may be present, but not both.

This constraint is defined at the MessageDefinition level.

C15 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C16 FeeTaxElementRule

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C17 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C18 NameAndAddress1Rule

(Rule)

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

C19 NonStandardsSLAReferenceRule

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C20 Party2PresenceRule

(Rule)

If Party2 is present, then Party1 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00128
- *Error Text:* Party1 must be present.

C21 Party3PresenceRule

(Rule)

If Party3 is present, then Party2 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00129
- *Error Text:* Party2 must be present.

C22 Party4PresenceRule

(Rule)

If Party4 is present, then Party3 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00130
- *Error Text:* Party3 must be present.

C23 Party5PresenceRule

(Rule)

If Party5 is present, then Party4 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00131
- *Error Text:* Party4 must be present.

C24 PhysicalTransferDetails1Rule

(Rule)

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00450
- *Error Text:* PhysicalTransferDetails must be present.

C25 PhysicalTransferDetails2Rule

(Rule)

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00425
- *Error Text:* PhysicalTransferDetails is not allowed.

C26 RequestedSettlementDateRule

(Rule)

Either TransferDetails/RequestedSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/RequestedSettlementDate may be present, but not both.

This constraint is defined at the MessageDefinition level.

C27 SettlementChainGuideline

(Rule)

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on www.smpg.info.

C28 TotalUnitsNumberRule

(Rule)

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

C29 TransactionOverheadElementRule

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

30.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

30.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

30.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference11](#) on page 2001 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2001
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2002

30.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

30.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

30.4.5 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: [Max35Text](#) on page 3409

30.4.6 TransferDetails <TrfDtls>

Presence: [1..*]

Definition: General information related to the transfer of the financial instrument.

Impacted by: C28 TotalUnitsNumberRule

TransferDetails <TrfDtls> contains the following elements (see Transfer37 on page 3216 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferConfirmationReference <TrfConfRef>	[1..1]	Text		3218
	TransferReference <TrfRef>	[1..1]	Text		3218
	ClientReference <ClntRef>	[0..1]	±		3218
	CounterpartyReference <CtrPtyRef>	[0..1]	±		3218
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		3218
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		3219
	EffectiveTransferDate <FctvTrfDt>	[1..1]	±		3219
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		3219
	TradeDate <TradDt>	[0..1]	±		3219
	TransferOrderDateForm <TrfOrdrDtForm>	[0..1]	Date		3220
	TransferReason <TrfRsn>	[0..1]	±		3220
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		3220
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C16	3220
	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		3221
	TransferRate <TrfRate>	[0..1]	Rate		3221
	UnitsDetails <UnitsDtls>	[0..*]	±		3221
	Rounding <Rndg>	[0..1]	CodeSet		3222
	OriginalCost <OrgnlCost>	[0..1]	Amount	C2	3222
	AveragePrice <AvrgPric>	[0..1]	Amount	C3	3223
	NewAveragePrice <NewAvrgPric>	[0..1]	Amount	C3	3223
	AverageDate <AvrgDt>	[0..1]	Date		3224
	NewAverageDate <NewAvrgDt>	[0..1]	Date		3224
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	3224
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		3225
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		3225
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		3225

Constraints

- **TotalUnitsNumberRule**

(Rule)

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

30.4.7 AccountDetails <AcctDtls>

Presence: [1..1]

Definition: Information related to the account from which the financial instrument was withdrawn.

AccountDetails <AcctDtls> contains the following elements (see [InvestmentAccount70](#) on page 2072 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..*]	±		2072
	AccountIdentification <AcctId>	[1..1]	Text		2073
	AccountName <AcctNm>	[0..1]	Text		2073
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2073
	AccountServicer <AcctSvcr>	[0..1]	±		2073
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2073
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2074
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2074
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2074
	IncomePreference <IncmPref>	[0..1]	CodeSet		2075
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2075
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2075
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2076

30.4.8 SettlementDetails <SttlmDtls>

Presence: [0..1]

Definition: Information related to the receiving side of the transfer.

Impacted by: [C24 PhysicalTransferDetails1Rule](#), [C25 PhysicalTransferDetails2Rule](#)

SettlementDetails <SttlmDtls> contains the following elements (see [ReceiveInformation20](#) on page 3196 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferee <Trfee>	[0..1]	±		3198
	TransfereeRegisteredAccount <TrfeeRegdAcct>	[0..1]	±		3198
	IntermediaryInformation <IntrmyInf>	[0..*]	±		3198
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		3199
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		3199
	IncomePreference <IncmPref>	[0..1]	CodeSet		3199
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		3200
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		3200
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		3200
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		3200
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	3200
	StampDuty <StmpDty>	[0..1]	CodeSet		3201
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	3201
	Fees <Fees>	[0..*]	±	C15	3202
	IndividualTax <IndvTax>	[0..*]	±		3203
	ForeignExchangeDetails <FXDtls>	[0..*]	±		3204
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		3205
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		3205
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	3206
	ClientReference <ClntRef>	[0..1]	±		3206

Constraints

• **PhysicalTransferDetails1Rule**

(Rule)

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00450
- *Error Text:* PhysicalTransferDetails must be present.

• **PhysicalTransferDetails2Rule**

(Rule)

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00425
- *Error Text:* PhysicalTransferDetails is not allowed.

30.4.9 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

30.4.10 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation5](#) on page 2374 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2374
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	2374

30.4.11 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C15 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

31 MX sese.004.001.09 ReversalOfTransferOutConfirmationV09

31.1 MessageDefinition Functionality

Scope

The ReversalOfTransferOutConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent transfer out confirmation.

Usage

The ReversalOfTransferOutConfirmation message is used to reverse a previously sent transfer out confirmation.

To request the reversal of a transfer out confirmation, the transfer reference of the transfer out instruction, as specified in the original TransferOutInstruction message, is specified in the transfer reference element. The executing party's reference for the execution of the transfer may also be specified in the TransferConfirmationReference element.

The message identification of the original TransferOutConfirmation message may also be quoted in PreviousReference but this is not recommended.

Outline

The ReversalOfTransferOutConfirmationV09 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. RelatedReference
Reference to a linked message that was previously received.
- E. MasterReference
Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.
- F. ReversalReferences
Reference of the transfer confirmation to be reversed.
- G. MarketPracticeVersion
Identifies the market practice to which the message conforms.
- H. CopyDetails

Information provided when the message is a copy of a previous message.

31.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RvslOfTrfOutConf>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		507
	PoolReference <PoolRef>	[0..1]	±		507
	PreviousReference <PrvsRef>	[0..1]	±		507
	RelatedReference <RltdRef>	[0..1]	±		508
	MasterReference <MstrRef>	[0..1]	Text		508
	ReversalReferences <RvslRefs>	[1..*]			508
	TransferReference <TrfRef>	[1..1]	Text		509
	ClientReference <ClntRef>	[0..1]	±		509
	TransferConfirmationReference <TrfConfRef>	[0..1]	Text		509
	CounterpartyReference <CtrPtyRef>	[0..1]	±		509
	CancellationReference <CxlRef>	[0..1]	Text		509
	ReversalReason <RvslRsn>	[0..1]	Text		510
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		510
	CopyDetails <CpyDtls>	[0..1]	±		510

31.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008

- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

31.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

31.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

31.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference11](#) on page 2001 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2001
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2002

31.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

31.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

31.4.5 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: [Max35Text](#) on page 3409

31.4.6 ReversalReferences <RvslRefs>

Presence: [1..*]

Definition: Reference of the transfer confirmation to be reversed.

ReversalReferences <RvslRefs> contains the following **TransferReference16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferReference <TrfRef>	[1..1]	Text		509
	ClientReference <ClntRef>	[0..1]	±		509
	TransferConfirmationReference <TrfConfRef>	[0..1]	Text		509
	CounterpartyReference <CtrPtyRef>	[0..1]	±		509
	CancellationReference <CxIRef>	[0..1]	Text		509
	ReversalReason <RvslRsn>	[0..1]	Text		510

31.4.6.1 TransferReference <TrfRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the transfer instruction for which the confirmation reversal is sent, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

31.4.6.2 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <CIntRef> contains the following elements (see [AdditionalReference10 on page 2002](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

31.4.6.3 TransferConfirmationReference <TrfConfRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the transfer execution for which the confirmation reversal is sent, as assigned by the confirming party.

Datatype: [Max35Text on page 3409](#)

31.4.6.4 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

Definition: Unambiguous identification of the transfer allocated by the counterparty.

CounterpartyReference <CtrPtyRef> contains the following elements (see [AdditionalReference10 on page 2002](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

31.4.6.5 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the reversal as assigned by the confirming party.

Datatype: [Max35Text on page 3409](#)

31.4.6.6 ReversalReason <RvsIRsn>

Presence: [0..1]

Definition: Reason for the reversal of confirmation.

Datatype: [Max35Text on page 3409](#)

31.4.7 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1 on page 2452](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

31.4.8 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation5 on page 2374](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2374
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	2374

32 MX sese.005.001.09 TransferInstructionV09

32.1 MessageDefinition Functionality

The TransferInstruction message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the receipt of a financial instrument, free of payment, on a given date from a specified party.

This message may also be used to instruct the receipt of a financial instrument, free of payment, from another of the instructing parties own accounts or from a third party.

Usage

The TransferInstruction message is used to instruct the receipt of a financial instrument from another account, either owned by the instructing party or by a third party.

Outline

The TransferInstructionV09 MessageDefinition is composed of 12 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. RelatedReference
Reference to a linked message that was previously received.
- E. Function
Function of the transfer in, that is, whether the transfer in message is used as an instruction or an advice and request for information. The absence of Function indicates the message is an instruction.
- F. MasterReference
Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.
- G. TransferDetails
General information related to the transfer of the financial instrument.
- H. AccountDetails
Information related to the account into which the financial instrument is to be received.
- I. SettlementDetails
Information related to the delivering side of the transfer.
- J. MarketPracticeVersion

Identifies the market practice to which the message conforms.

K. CopyDetails

Information provided when the message is a copy of a previous message.

L. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

32.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrfInInstr>	[1..1]		C25	
	MessageIdentification <MsgId>	[1..1]	±		518
	PoolReference <PoolRef>	[0..1]	±		518
	PreviousReference <PrvsRef>	[0..1]	±		519
	RelatedReference <RltdRef>	[0..1]	±		519
	Function <Fctn>	[0..1]	CodeSet		519
	MasterReference <MstrRef>	[0..1]	Text		520
	TransferDetails <TrfDtls>	[1..*]	±	C27	520
	AccountDetails <AcctDtls>	[1..1]	±		521
	SettlementDetails <SttlmDtls>	[0..1]	±	C23, C24	522
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		524
	CopyDetails <CpyDtls>	[0..1]	±		524
	Extension <Xtnsn>	[0..*]	±	C14	524

32.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AdditonalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C4 AdditonalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C5 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 AppliedAmountRule

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

C7 BookTransferGuideline

(Rule)

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on www.smpg.info.

C8 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C10 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 DepositoryGuideline

(Rule)

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on www.smpg.info.

C12 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C13 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C14 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C15 FeeTaxElementRule

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C16 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C17 NameAndAddress1Rule

(Rule)

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

C18 NonStandardsSLAReferenceRule

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C19 Party2PresenceRule

(Rule)

If Party2 is present, then Party1 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00128
- *Error Text:* Party1 must be present.

C20 Party3PresenceRule

(Rule)

If Party3 is present, then Party2 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00129
- *Error Text:* Party2 must be present.

C21 Party4PresenceRule

(Rule)

If Party4 is present, then Party3 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00130
- *Error Text:* Party3 must be present.

C22 Party5PresenceRule

(Rule)

If Party5 is present, then Party4 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00131
- *Error Text:* Party4 must be present.

C23 PhysicalTransferDetails1Rule

(Rule)

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00450
- *Error Text:* PhysicalTransferDetails must be present.

C24 PhysicalTransferDetails2Rule

(Rule)

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00451
- *Error Text:* PhysicalTransferDetails is not allowed.

C25 RequestedSettlementDateRule

(Rule)

Either TransferDetails/RequestedSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/RequestedSettlementDate may be present, but not both.

This constraint is defined at the MessageDefinition level.

C26 SettlementChainGuideline

(Rule)

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on www.smpg.info.

C27 TotalUnitsNumberRule

(Rule)

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

C28 TransactionOverheadElementRule

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

32.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

32.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

32.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference11](#) on page 2001 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2001
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2002

32.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

32.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

32.4.5 Function <Fctn>

Presence: [0..1]

Definition: Function of the transfer in, that is, whether the transfer in message is used as an instruction or an advice and request for information. The absence of Function indicates the message is an instruction.

Datatype: [TransferInFunction1Code](#) on page 3379

CodeName	Name	Definition
ADRE	AdviceAndRequest	The transfer-in is an advice and request, that is, the message is used to inform the receiver to expect an unsolicited transfer in confirmation and to request account information for the transfer.
INST	Instruction	The transfer-in is an instruction.

32.4.6 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: Max35Text on page 3409

32.4.7 TransferDetails <TrfDtls>

Presence: [1..*]

Definition: General information related to the transfer of the financial instrument.

Impacted by: C27 TotalUnitsNumberRule

TransferDetails <TrfDtls> contains the following elements (see [Transfer36](#) on page 3151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferReference <TrfRef>	[1..1]	Text		3152
	ClientReference <ClntRef>	[0..1]	±		3152
	CounterpartyReference <CtrPtyRef>	[0..1]	±		3152
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		3152
	RequestedTransferDate <ReqdTrfDt>	[0..1]	±		3153
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		3153
	TransferOrderDateForm <TrfOrdrDtForm>	[0..1]	Date		3153
	TransferReason <TrfRsn>	[0..1]	±		3153
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		3153
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C16	3154
	Quantity <Qty>	[1..1]	±		3154
	UnitsDetails <UnitsDtls>	[0..*]	±		3155
	Rounding <Rndg>	[0..1]	CodeSet		3156
	OriginalCost <OrgnlCost>	[0..1]	Amount	C2	3156
	AveragePrice <AvrgPric>	[0..1]	Amount	C3	3156
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	3157
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		3157
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		3157
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		3157

Constraints

- **TotalUnitsNumberRule**

(Rule)

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

32.4.8 AccountDetails <AcctDtls>

Presence: [1..1]

Definition: Information related to the account into which the financial instrument is to be received.

AccountDetails <AcctDtls> contains the following elements (see [InvestmentAccount71](#) on page 2067 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..*]	±		2068
	AccountIdentification <AcctId>	[1..1]	Text		2068
	AccountName <AcctNm>	[0..1]	Text		2068
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2069
	AccountServicer <AcctSvcr>	[0..1]	±		2069
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2069
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2069
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		2070
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2070
	IncomePreference <IncmPref>	[0..1]	CodeSet		2070
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2071
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2071
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2071

32.4.9 SettlementDetails <SttlmDtls>

Presence: [0..1]

Definition: Information related to the delivering side of the transfer.

Impacted by: [C23 PhysicalTransferDetails1Rule](#), [C24 PhysicalTransferDetails2Rule](#)

SettlementDetails <SttlmDtls> contains the following elements (see [DeliverInformation21](#) on page 3186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferor <Trfr>	[0..1]	±		3188
	TransferorRegisteredAccount <TrfrRegdAcct>	[0..1]	±		3188
	IntermediaryInformation <IntrmyInf>	[0..*]	±		3188
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		3189
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		3189
	IncomePreference <IncmPref>	[0..1]	CodeSet		3189
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		3190
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		3190
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		3190
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	3190
	StampDuty <StmpDty>	[0..1]	CodeSet		3191
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	3191
	Fees <Fees>	[0..*]	±	C15	3192
	IndividualTax <IndvTax>	[0..*]	±		3193
	ForeignExchangeDetails <FXDtls>	[0..*]	±		3193
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		3194
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		3195
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	3195
	ClientReference <ClntRef>	[0..1]	±		3196

Constraints

• **PhysicalTransferDetails1Rule**

(Rule)

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

Error handling:

– Error severity: Fatal

– Error Code: X00450

- *Error Text:* PhysicalTransferDetails must be present.

• **PhysicalTransferDetails2Rule**

(Rule)

If PhysicalTransfer is DEMENT (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00451
- *Error Text:* PhysicalTransferDetails is not allowed.

32.4.10 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

32.4.11 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation5](#) on page 2374 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2374
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	2374

32.4.12 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C14 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1 on page 2472](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

33 MX sese.006.001.09 TransferInCancellationRequestV09

33.1 MessageDefinition Functionality

Scope

The TransferInCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent transfer in instruction.

Usage

The TransferInCancellationRequest message is used to request the cancellation of one or more transfer in instructions.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more transfer in instructions, the transfer reference of the transfer, as specified in the original TransferInInstruction message, is specified in the transfer reference element.

The message identification of the original TransferOutInstruction message may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a TransferInCancellationRequest is made using a TransferCancellationStatusReport message.

Outline

The TransferInCancellationRequestV09 MessageDefinition is composed of 9 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

F. Function

Function of the transfer-in, that is, whether the message is used as a request to cancel a previously sent instruction or as a cancellation of a previously sent advice and request for information. The absence of Function indicates the message is a request to cancel a previously sent instruction.

G. TransferReferences

Reference of the transfer to be cancelled.

H. MarketPracticeVersion

Identifies the market practice to which the message conforms.

I. CopyDetails

Information provided when the message is a copy of a previous message.

33.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrfInCxlReq>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		528
	PoolReference <PoolRef>	[0..1]	±		528
	PreviousReference <PrvsRef>	[0..1]	±		529
	RelatedReference <RltdRef>	[0..1]	±		529
	MasterReference <MstrRef>	[0..1]	Text		529
	Function <Fctn>	[0..1]	CodeSet		529
	TransferReferences <TrfRefs>	[1..*]			530
	TransferReference <TrfRef>	[1..1]	Text		530
	ClientReference <ClntRef>	[0..1]	±		530
	CounterpartyReference <CtrPtyRef>	[0..1]	±		531
	CancellationReference <CxlRef>	[0..1]	Text		531
	CancellationReason <CxlRsn>	[0..1]	Text		531
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		531
	CopyDetails <CpyDtls>	[0..1]	±		531

33.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

33.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

33.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

33.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference11](#) on page 2001 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2001
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2002

33.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

33.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

33.4.5 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: [Max35Text](#) on page 3409

33.4.6 Function <Fctn>

Presence: [0..1]

Definition: Function of the transfer-in, that is, whether the message is used as a request to cancel a previously sent instruction or as a cancellation of a previously sent advice and request for information. The absence of Function indicates the message is a request to cancel a previously sent instruction.

Datatype: [TransferInFunction1Code](#) on page 3379

CodeName	Name	Definition
ADRE	AdviceAndRequest	The transfer-in is an advice and request, that is, the message is used to inform the receiver to expect an unsolicited transfer in confirmation and to request account information for the transfer.
INST	Instruction	The transfer-in is an instruction.

33.4.7 TransferReferences <TrfRefs>

Presence: [1..*]

Definition: Reference of the transfer to be cancelled.

TransferReferences <TrfRefs> contains the following **TransferReference15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferReference <TrfRef>	[1..1]	Text		530
	ClientReference <ClntRef>	[0..1]	±		530
	CounterpartyReference <CtrPtyRef>	[0..1]	±		531
	CancellationReference <CxlRef>	[0..1]	Text		531
	CancellationReason <CxlRsn>	[0..1]	Text		531

33.4.7.1 TransferReference <TrfRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the transfer instruction for which the cancellation request is sent, as assigned by the instructing party.

Datatype: [Max35Text](#) on page 3409

33.4.7.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <ClntRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

33.4.7.3 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

Definition: Unambiguous identification of the transfer allocated by the counterparty.

CounterpartyReference <CtrPtyRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

33.4.7.4 CancellationReference <CxIRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the transfer cancellation, as assigned by the instructing party.

Datatype: [Max35Text](#) on page 3409

33.4.7.5 CancellationReason <CxIRsn>

Presence: [0..1]

Definition: Reason for the cancellation.

Datatype: [Max35Text](#) on page 3409

33.4.8 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

33.4.9 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtIs> contains the following elements (see [CopyInformation5](#) on page 2374 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2374
	OriginalReceiver <OrgnIRcvr>	[0..1]	IdentifierSet	C1	2374

34 MX sese.007.001.09 TransferInConfirmationV09

34.1 MessageDefinition Functionality

Scope

The TransferInConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the receipt of a financial instrument, free of payment, on a given date, from a specified party.

This message may also be used to confirm the receipt of a financial instrument, free of payment, from another of the instructing parties own accounts or from a third party.

This message may also be used as an advice, that is, the message is used to provide account information.

Usage

The TransferInConfirmation message is used to confirm receipt of a financial instrument, either from another account owned by the instructing party or from a third party. The reference of the transfer confirmation is identified in TransferConfirmationReference.

The reference of the original transfer instruction is specified in TransferReference. The message identification of the TransferInInstruction message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

Outline

The TransferInConfirmationV09 MessageDefinition is composed of 12 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. Function

Function of the transfer in, that is, whether the transfer in message is used as a confirmation or as an advice. The absence of Function indicates the message is a confirmation.

F. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

G. TransferDetails

General information related to the transfer of the financial instrument.

H. AccountDetails

Information related to the account into which the financial instrument was received.

I. SettlementDetails

Information related to the delivering side of the transfer.

J. MarketPracticeVersion

Identifies the market practice to which the message conforms.

K. CopyDetails

Information provided when the message is a copy of a previous message.

L. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

34.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root <Document> <TrflnConf></i>	[1..1]		C14, C26	
	MessageIdentification <MsgId>	[1..1]	±		540
	PoolReference <PoolRef>	[0..1]	±		541
	PreviousReference <PrvsRef>	[0..1]	±		541
	RelatedReference <RltdRef>	[0..1]	±		541
	Function <Fctn>	[0..1]	CodeSet		542
	MasterReference <MstrRef>	[0..1]	Text		542
	TransferDetails <TrfDtls>	[1..*]	±	C28	542
	AccountDetails <AcctDtls>	[1..1]	±		544
	SettlementDetails <SttlmDtls>	[0..1]	±	C24, C25	544
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		546
	CopyDetails <CpyDtls>	[0..1]	±		546
	Extension <Xtnsn>	[0..*]	±	C15	547

34.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AdditonalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C4 AdditonalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C5 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008

– *Error Text:* Invalid BIC.

C6 AppliedAmountRule

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

C7 BookTransferGuideline

(Rule)

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on www.smpg.info.

C8 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C10 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 DepositoryGuideline

(Rule)

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on www.smpg.info.

C12 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C13 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C14 EffectiveSettlementDateRule

(Rule)

Either TransferDetails/EffectiveSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/Effective Settlement Date may be present, but not both.

This constraint is defined at the MessageDefinition level.

C15 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C16 FeeTaxElementRule

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C17 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C18 NameAndAddress1Rule

(Rule)

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

C19 NonStandardsSLAReferenceRule

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C20 Party2PresenceRule

(Rule)

If Party2 is present, then Party1 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00128
- *Error Text:* Party1 must be present.

C21 Party3PresenceRule

(Rule)

If Party3 is present, then Party2 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00129
- *Error Text:* Party2 must be present.

C22 Party4PresenceRule

(Rule)

If Party4 is present, then Party3 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00130
- *Error Text:* Party3 must be present.

C23 Party5PresenceRule

(Rule)

If Party5 is present, then Party4 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00131
- *Error Text:* Party4 must be present.

C24 PhysicalTransferDetails1Rule

(Rule)

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00450
- *Error Text:* PhysicalTransferDetails must be present.

C25 PhysicalTransferDetails2Rule

(Rule)

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00425
- *Error Text:* PhysicalTransferDetails is not allowed.

C26 RequestedSettlementDateRule

(Rule)

Either TransferDetails/RequestedSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/RequestedSettlementDate may be present, but not both.

This constraint is defined at the MessageDefinition level.

C27 SettlementChainGuideline

(Rule)

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on www.smpg.info.

C28 TotalUnitsNumberRule

(Rule)

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

C29 TransactionOverheadElementRule

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

34.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

34.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

34.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference11](#) on page 2001 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2001
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2002

34.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

34.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

34.4.5 Function <Fctn>

Presence: [0..1]

Definition: Function of the transfer in, that is, whether the transfer in message is used as a confirmation or as or an advice. The absence of Function indicates the message is a confirmation.

Datatype: [TransferInFunction2Code](#) on page 3379

CodeName	Name	Definition
CONF	Confirmation	The transfer-in is a confirmation (rather than an advice).
ADVI	Advice	The transfer-in provides advice about account information for a transfer.

34.4.6 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: [Max35Text](#) on page 3409

34.4.7 TransferDetails <TrfDtls>

Presence: [1..*]

Definition: General information related to the transfer of the financial instrument.

Impacted by: [C28 TotalUnitsNumberRule](#)

TransferDetails <TrfDtls> contains the following elements (see [Transfer37](#) on page 3216 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferConfirmationReference <TrfConfRef>	[1..1]	Text		3218
	TransferReference <TrfRef>	[1..1]	Text		3218
	ClientReference <ClntRef>	[0..1]	±		3218
	CounterpartyReference <CtrPtyRef>	[0..1]	±		3218
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		3218
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		3219
	EffectiveTransferDate <FctvTrfDt>	[1..1]	±		3219
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		3219
	TradeDate <TradDt>	[0..1]	±		3219
	TransferOrderDateForm <TrfOrdrDtForm>	[0..1]	Date		3220
	TransferReason <TrfRsn>	[0..1]	±		3220
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		3220
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C16	3220
	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		3221
	TransferRate <TrfRate>	[0..1]	Rate		3221
	UnitsDetails <UnitsDtls>	[0..*]	±		3221
	Rounding <Rndg>	[0..1]	CodeSet		3222
	OriginalCost <OrgnlCost>	[0..1]	Amount	C2	3222
	AveragePrice <AvrgPric>	[0..1]	Amount	C3	3223
	NewAveragePrice <NewAvrgPric>	[0..1]	Amount	C3	3223
	AverageDate <AvrgDt>	[0..1]	Date		3224
	NewAverageDate <NewAvrgDt>	[0..1]	Date		3224
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	3224
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		3225
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		3225
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		3225

Constraints

- **TotalUnitsNumberRule**
 (Rule)

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

34.4.8 AccountDetails <AcctDtls>

Presence: [1..1]

Definition: Information related to the account into which the financial instrument was received.

AccountDetails <AcctDtls> contains the following elements (see [InvestmentAccount71](#) on page 2067 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..*]	±		2068
	AccountIdentification <AcctId>	[1..1]	Text		2068
	AccountName <AcctNm>	[0..1]	Text		2068
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2069
	AccountServicer <AcctSvcr>	[0..1]	±		2069
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2069
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2069
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2070
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2070
	IncomePreference <IncmPref>	[0..1]	CodeSet		2070
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2071
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2071
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2071

34.4.9 SettlementDetails <SttlmDtls>

Presence: [0..1]

Definition: Information related to the delivering side of the transfer.

Impacted by: [C24 PhysicalTransferDetails1Rule](#), [C25 PhysicalTransferDetails2Rule](#)

SettlementDetails <SttlmDtls> contains the following elements (see [DeliverInformation20](#) on page 3176 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferor <Trfr>	[0..1]	±		3178
	TransferorRegisteredAccount <TrfrRegdAcct>	[0..1]	±		3178
	IntermediaryInformation <IntrmyInf>	[0..*]	±		3178
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		3179
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		3179
	IncomePreference <IncmPref>	[0..1]	CodeSet		3179
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		3180
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		3180
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		3180
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		3180
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	3180
	StampDuty <StmpDty>	[0..1]	CodeSet		3181
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	3181
	Fees <Fees>	[0..*]	±	C15	3182
	IndividualTax <IndvTax>	[0..*]	±		3183
	ForeignExchangeDetails <FXDtls>	[0..*]	±		3184
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		3185
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		3185
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	3186
	ClientReference <ClntRef>	[0..1]	±		3186

Constraints

• **PhysicalTransferDetails1Rule**

(Rule)

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00450
- *Error Text:* PhysicalTransferDetails must be present.

• **PhysicalTransferDetails2Rule**

(Rule)

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00425
- *Error Text:* PhysicalTransferDetails is not allowed.

34.4.10 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

34.4.11 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation5](#) on page 2374 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2374
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	2374

34.4.12 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C15 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

35 MX sese.008.001.09 ReversalOfTransferInConfirmationV09

35.1 MessageDefinition Functionality

Scope

The ReversalOfTransferInConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent transfer in confirmation.

Usage

The ReversalOfTransferInConfirmation message is used to reverse a previously sent transfer in confirmation.

To request the reversal of a transfer in confirmation, the transfer reference of the transfer in instruction, as specified in the original TransferInInstruction message, is specified in the transfer reference element. The executing party's reference for the execution of the transfer may also be specified in the TransferConfirmationReference element.

The message identification of the original TransferInConfirmation message may also be quoted in PreviousReference but this is not recommended.

Outline

The ReversalOfTransferInConfirmationV09 MessageDefinition is composed of 9 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked MX message that was previously received.

E. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

F. Function

Function of the transfer-in, that is, whether the message is used as a reversal of a previously sent confirmation or as a reversal of a previously sent advice. The absence of Function indicates the message is a reversal of a previously sent confirmation.

G. ReversalReferences

Reference of the transfer confirmation to be reversed.

H. MarketPracticeVersion

Identifies the market practice to which the message conforms.

I. CopyDetails

Information provided when the message is a copy of a previous message.

35.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RvslOfTrfInConf>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		550
	PoolReference <PoolRef>	[0..1]	±		550
	PreviousReference <PrvsRef>	[0..1]	±		551
	RelatedReference <RltdRef>	[0..1]	±		551
	MasterReference <MstrRef>	[0..1]	Text		551
	Function <Fctn>	[0..1]	CodeSet		551
	ReversalReferences <RvslRefs>	[1..*]			552
	TransferReference <TrfRef>	[1..1]	Text		552
	ClientReference <ClntRef>	[0..1]	±		552
	TransferConfirmationReference <TrfConfRef>	[0..1]	Text		552
	CounterpartyReference <CtrPtyRef>	[0..1]	±		552
	CancellationReference <CxlRef>	[0..1]	Text		553
	ReversalReason <RvslRsn>	[0..1]	Text		553
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		553
	CopyDetails <CpyDtls>	[0..1]	±		553

35.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

35.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

35.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

35.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference11 on page 2001](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2001
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2002

35.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

35.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

35.4.5 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: [Max35Text](#) on page 3409

35.4.6 Function <Fctn>

Presence: [0..1]

Definition: Function of the transfer-in, that is, whether the message is used as a reversal of a previously sent confirmation or as a reversal of a previously sent advice. The absence of Function indicates the message is a reversal of a previously sent confirmation.

Datatype: [TransferInFunction2Code](#) on page 3379

CodeName	Name	Definition
CONF	Confirmation	The transfer-in is a confirmation (rather than an advice).
ADVI	Advice	The transfer-in provides advice about account information for a transfer.

35.4.7 ReversalReferences <RvslRefs>

Presence: [1..*]

Definition: Reference of the transfer confirmation to be reversed.

ReversalReferences <RvslRefs> contains the following **TransferReference16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferReference <TrfRef>	[1..1]	Text		552
	ClientReference <ClntRef>	[0..1]	±		552
	TransferConfirmationReference <TrfConfRef>	[0..1]	Text		552
	CounterpartyReference <CtrPtyRef>	[0..1]	±		552
	CancellationReference <CxIRef>	[0..1]	Text		553
	ReversalReason <RvslRsn>	[0..1]	Text		553

35.4.7.1 TransferReference <TrfRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the transfer instruction for which the confirmation reversal is sent, as assigned by the instructing party.

Datatype: Max35Text on page 3409

35.4.7.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <ClntRef> contains the following elements (see AdditionalReference10 on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

35.4.7.3 TransferConfirmationReference <TrfConfRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the transfer execution for which the confirmation reversal is sent, as assigned by the confirming party.

Datatype: Max35Text on page 3409

35.4.7.4 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

Definition: Unambiguous identification of the transfer allocated by the counterparty.

CounterpartyReference <CtrPtyRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

35.4.7.5 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the reversal as assigned by the confirming party.

Datatype: [Max35Text](#) on page 3409

35.4.7.6 ReversalReason <RvslRsn>

Presence: [0..1]

Definition: Reason for the reversal of confirmation.

Datatype: [Max35Text](#) on page 3409

35.4.8 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

35.4.9 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation5](#) on page 2374 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2374
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	2374

36 **MX sese.009.001.08**

RequestForTransferStatusReportV08

36.1 **MessageDefinition Functionality**

Scope

The RequestForTransferStatusReport is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent to request the status of a previously instructed transfer.

The RequestForTransferStatusReport may also be sent by any party in the transfer transaction to another party in the transfer transaction chain to request information relevant for the settlement of a transfer transaction.

Usage

The RequestForTransferStatusReport is used to request either:

- the status of one or several information requests or transfer instructions or,
- the status of one or several transfer cancellation instructions, or
- information relevant to one or more transfer instructions.

Outline

The RequestForTransferStatusReportV08 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. RequestDetails

Information to identify the transfer for which the status is requested.

C. MarketPracticeVersion

Identifies the market practice to which the message conforms.

D. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

36.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ReqForTrfStsRpt>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		557
	RequestDetails <ReqDtls>	[1..*]		C7, C8	558
	Reference <Ref>	[0..1]			560
{Or	PreviousReference <PrvsRef>	[1..1]	±		560
Or}	OtherReference <OthrRef>	[1..1]	±		560
	TypeOfRequest <TpOfReq>	[0..1]			561
{Or	Code <Cd>	[1..1]	CodeSet		561
Or}	Proprietary <Prtry>	[1..1]	±		561
	MasterReference <MstrRef>	[0..1]	Text		561
	TransferReference <TrfRef>	[1..1]	Text		562
	ClientReference <ClntRef>	[0..1]	±		562
	CancellationReference <CxlRef>	[0..1]	Text		562
	Instrument <Instrm>	[0..1]			562
{Or	Security <Scty>	[1..1]	±	C6	562
Or	CashAsset <CshAsst>	[1..1]	±	C5	563
Or}	OtherAsset <OthrAsst>	[1..1]	±		564
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]			564
	OwnerIdentification <OwnrId>	[0..1]	±		564
	AccountIdentification <AcctId>	[0..1]	Text		565
	AccountDesignation <AcctDsgnt>	[0..1]	Text		565
	AccountName <AcctNm>	[0..1]	Text		565
	Type <Tp>	[0..1]	±		565
	Servicer <Svcr>	[0..1]	±		566
	SubAccountDetails <SubAcctDtls>	[0..1]	±		566
	IntermediaryInformation <IntrmyInf>	[0..*]	±		566
	QueryInformation <QryInf>	[0..*]			567
	QueryType <QryTp>	[0..1]	±		567
	Query <Qry>	[1..1]	Text		568
	QueryReason <QryRsn>	[0..1]	Text		568

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	RejectionReason <RjctnRsn>	[0..1]			568
{Or	Code <Cd>	[1..1]	CodeSet		568
Or}	Proprietary <Prtry>	[1..1]	±		570
	RequestIssuer <ReqIssr>	[0..1]	±		571
	RequestRecipient <ReqRcpt>	[0..1]	±		571
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		571
	Extension <Xtnsn>	[0..*]	±	C4	572

36.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C3 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C4 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C5 HoldingTransferCurrencyGuideline

(Rule)

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C6 IdentificationGuideline

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C7 OtherReferenceRule

(Rule)

Reference/OtherReference should be used to reference a transfer instruction or a transfer cancellation request 'message' sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

C8 PreviousReferenceRule

(Rule)

If Reference/PreviousReference/MessageName is present, it must start with sese.001, sese.002, sese.005, sese.006, sese.012 or sese.014.

36.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

36.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

36.4.2 RequestDetails <ReqDtls>

Presence: [1..*]

Definition: Information to identify the transfer for which the status is requested.

Impacted by: [C7 OtherReferenceRule](#), [C8 PreviousReferenceRule](#)

RequestDetails <ReqDtls> contains the following **MessageAndBusinessReference13** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]			560
{Or	PreviousReference <PrvsRef>	[1..1]	±		560
Or}	OtherReference <OthrRef>	[1..1]	±		560
	TypeOfRequest <TpOfReq>	[0..1]			561
{Or	Code <Cd>	[1..1]	CodeSet		561
Or}	Proprietary <Prtry>	[1..1]	±		561
	MasterReference <MstrRef>	[0..1]	Text		561
	TransferReference <TrfRef>	[1..1]	Text		562
	ClientReference <ClntRef>	[0..1]	±		562
	CancellationReference <CxlRef>	[0..1]	Text		562
	Instrument <Instrm>	[0..1]			562
{Or	Security <Scty>	[1..1]	±	C6	562
Or	CashAsset <CshAsst>	[1..1]	±	C5	563
Or}	OtherAsset <OthrAsst>	[1..1]	±		564
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]			564
	OwnerIdentification <Ownrld>	[0..1]	±		564
	AccountIdentification <AcctId>	[0..1]	Text		565
	AccountDesignation <AcctDsgnt>	[0..1]	Text		565
	AccountName <AcctNm>	[0..1]	Text		565
	Type <Tp>	[0..1]	±		565
	Servicer <Svcr>	[0..1]	±		566
	SubAccountDetails <SubAcctDtls>	[0..1]	±		566
	IntermediaryInformation <IntrmyInf>	[0..*]	±		566
	QueryInformation <QryInf>	[0..*]			567
	QueryType <QryTp>	[0..1]	±		567
	Query <Qry>	[1..1]	Text		568
	QueryReason <QryRsn>	[0..1]	Text		568
	RejectionReason <RjctnRsn>	[0..1]			568
{Or	Code <Cd>	[1..1]	CodeSet		568
Or}	Proprietary <Prtry>	[1..1]	±		570
	RequestIssuer <ReqIssr>	[0..1]	±		571

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RequestRecipient <ReqRcpt>	[0..1]	±		571

Constraints

- **OtherReferenceRule**

(Rule)

Reference/OtherReference should be used to reference a transfer instruction or a transfer cancellation request 'message' sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

- **PreviousReferenceRule**

(Rule)

If Reference/PreviousReference/MessageName is present, it must start with sese.001, sese.002, sese.005, sese.006, sese.012 or sese.014.

36.4.2.1 Reference <Ref>

Presence: [0..1]

Definition: Reference to the message or communication that was previously sent.

Reference <Ref> contains one of the following **References68Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..1]	±		560
Or}	OtherReference <OthrRef>	[1..1]	±		560

36.4.2.1.1 PreviousReference <PrvsRef>

Presence: [1..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on [page 2002](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

36.4.2.1.2 OtherReference <OthrRef>

Presence: [1..1]

Definition: Reference to a linked message sent in a proprietary way or the reference of a system.

OtherReference <OthrRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

36.4.2.2 TypeOfRequest <TpOfReq>

Presence: [0..1]

Definition: Type of request required.

TypeOfRequest <TpOfReq> contains one of the following **TypeOfRequest1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		561
Or}	Proprietary <Prtry>	[1..1]	±		561

36.4.2.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of request expressed as a code.

Datatype: [TypeOfRequest1Code](#) on page 3389

CodeName	Name	Definition
INFO	Information	Request for information.
STAT	Status	Request for status.

36.4.2.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of request expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

36.4.2.3 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: [Max35Text on page 3409](#)

36.4.2.4 TransferReference <TrfRef>

Presence: [1..1]

Definition: Unique and unambiguous identification of the transfer, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

36.4.2.5 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <CIntRef> contains the following elements (see [AdditionalReference10 on page 2002](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

36.4.2.6 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a transfer cancellation, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

36.4.2.7 Instrument <Instrm>

Presence: [0..1]

Definition: Identification of the asset.

Instrument <Instrm> contains one of the following **FinancialInstrument63Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Security <Scty>	[1..1]	±	C6	562
Or	CashAsset <CshAsst>	[1..1]	±	C5	563
Or}	OtherAsset <OthrAsst>	[1..1]	±		564

36.4.2.7.1 Security <Scty>

Presence: [1..1]

Definition: Identification of the security.

Impacted by: [C6 IdentificationGuideline](#)

Security <Scty> contains the following elements (see [FinancialInstrumentIdentification2](#) on page 1925 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1926
	Name <Nm>	[0..1]	Text		1927
	ShortName <ShrtNm>	[0..1]	Text		1927
	ClassificationType <ClssfctnTp>	[0..1]	±		1927

Constraints

- **IdentificationGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

36.4.2.7.2 CashAsset <CshAsst>

Presence: [1..1]

Definition: Identification of the cash asset.

Impacted by: [C5 HoldingTransferCurrencyGuideline](#)

CashAsset <CshAsst> contains the following elements (see [CashAsset3](#) on page 1923 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1924
{Or	Code <Cd>	[1..1]	CodeSet		1924
Or}	Proprietary <Prtry>	[1..1]	±		1924
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C2	1924
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	1925
	AdditionalInformation <AddtlInf>	[0..1]	±		1925

Constraints

- **HoldingTransferCurrencyGuideline**

(Rule)

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

Error handling:

- *Error severity:* Fatal
- *Error Code:*

– Error Text:

36.4.2.7.3 OtherAsset <OthrAsst>

Presence: [1..1]

Definition: Identification of another kind of asset in the holding that is not a security or cash.

OtherAsset <OthrAsst> contains the following elements (see [OtherAsset2](#) on page 1921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1921
{Or	Code <Cd>	[1..1]	CodeSet		1922
Or}	Proprietary <Prtry>	[1..1]	±		1922
	Identification <Id>	[1..1]	Text		1922
	Name <Nm>	[0..1]	Text		1922
	Description <Desc>	[0..1]	Text		1923
	OtherIdentification <Othrlid>	[0..5]	Text		1923
	AdditionalInformation <AddtlInf>	[0..*]	±		1923

36.4.2.8 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Investment account information of the transfer for which the status or information is requested.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following **Account33** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrlid>	[0..1]	±		564
	AccountIdentification <AcctId>	[0..1]	Text		565
	AccountDesignation <AcctDsgnt>	[0..1]	Text		565
	AccountName <AcctNm>	[0..1]	Text		565
	Type <Tp>	[0..1]	±		565
	Servicer <Svcr>	[0..1]	±		566
	SubAccountDetails <SubAcctDtls>	[0..1]	±		566

36.4.2.8.1 OwnerIdentification <Ownrlid>

Presence: [0..1]

Definition: Party that legally owns the account.

OwnerIdentification <Ownrld> contains the following elements (see [PartyIdentification132](#) on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

36.4.2.8.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text](#) on page 3409

36.4.2.8.3 AccountDesignation <AcctDsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text](#) on page 3409

36.4.2.8.4 AccountName <AcctNm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

36.4.2.8.5 Type <Tp>

Presence: [0..1]

Definition: Specifies the type of securities account.

Type <Tp> contains the following elements (see [GenericIdentification30](#) on page 2012 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

36.4.2.8.6 Servicer <Svcr>

Presence: [0..1]

Definition: Institution that maintains the records where the account is held.

Servicer <Svcr> contains the following elements (see [PartyIdentification132](#) on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

36.4.2.8.7 SubAccountDetails <SubAcctDtls>

Presence: [0..1]

Definition: Sub-account of the master or omnibus account.

SubAccountDetails <SubAcctDtls> contains the following elements (see [SubAccount5](#) on page 1602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1602
	Name <Nm>	[0..1]	Text		1602
	Characteristic <Chrtc>	[0..1]	Text		1602

36.4.2.9 IntermediaryInformation <IntrmyInf>

Presence: [0..*]

Definition: Identification of a related party or intermediary.

IntermediaryInformation <IntrmyInf> contains the following elements (see [Intermediary48](#) on page 2496 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2497
	Account <Acct>	[0..1]			2497
	AccountIdentification <AcctId>	[0..1]	Text		2498
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2498
	AccountName <AcctNm>	[0..1]	Text		2498
	AccountServicer <AcctSvcr>	[1..1]	±		2498
	RegistrationAddress <RegnAdr>	[0..1]	±		2499
	Role <Role>	[0..1]			2499
{Or	Code <Cd>	[1..1]	CodeSet		2499
Or}	Proprietary <Prtry>	[1..1]	±		2501
	ContactPerson <CtctPrsn>	[0..1]	±		2501

36.4.2.10 QueryInformation <QryInf>

Presence: [0..*]

Definition: Information about the query.

QueryInformation <QryInf> contains the following **AdditionalInformation25** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	QueryType <QryTp>	[0..1]	±		567
	Query <Qry>	[1..1]	Text		568
	QueryReason <QryRsn>	[0..1]	Text		568
	RejectionReason <RjctnRsn>	[0..1]			568
{Or	Code <Cd>	[1..1]	CodeSet		568
Or}	Proprietary <Prtry>	[1..1]	±		570

36.4.2.10.1 QueryType <QryTp>

Presence: [0..1]

Definition: Type of query.

QueryType <QryTp> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

36.4.2.10.2 Query <Qry>

Presence: [1..1]

Definition: Description of the query.

Datatype: [Max350Text](#) on page 3409

36.4.2.10.3 QueryReason <QryRsn>

Presence: [0..1]

Definition: Reason for the query.

Datatype: [Max350Text](#) on page 3409

36.4.2.10.4 RejectionReason <RjctnRsn>

Presence: [0..1]

Definition: Reason the instruction was rejected.

RejectionReason <RjctnRsn> contains one of the following **RejectedReason33Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		568
Or}	Proprietary <Prtry>	[1..1]	±		570

36.4.2.10.4.1 Code <Cd>

Presence: [1..1]

Definition: Rejected reason expressed as a code.

Datatype: [RejectedStatusReason12Code](#) on page 3341

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
IAQD	AcquisitionDate	Acquisition date is not recognised or is invalid.

CodeName	Name	Definition
ICTN	CertificateNumber	Certificate number is not recognised or is invalid.
CYPA	CurrentYearPartial	Partial transfer of current year is not allowed, that is, it is not possible to transfer one asset for the current year as other assets are held for the current year.
TREF	DuplicateTransferReference	Transfer reference is a duplicate of a previously received transfer.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
FTAX	FinancialInstrumentTaxYear	Financial instrument is not valid for the requested tax year.
INID	InsufficientInvestorData	Investor data is insufficient. Applicable when the mandated market practice is not followed.
INAC	InvalidAccountServicer	Account servicer is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
INPM	InvalidNewPlanManager	New plan manager is not recognised or is invalid.
INNA	InvalidNomineeAccount	Nominee account is not recognised or is invalid.
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
INUK	InvestorNameAddressUnknown	Investor name and address is not recognised.
LEGL	LegallyImpossible	Legally impossible to cancel.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
PTNS	PartialNotSupported	Partial transfer is not supported. Applicable when tax years are rolled up and because, for example, a transfer request for tax year 2000 only is received, it is not possible to process the transfer as the investor holds other tax years as well.
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.

CodeName	Name	Definition
ISTP	SettlementParties	One or several settlement parties are not recognised or are invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
ISAT	InvalidISAType	ISA type is not recognised or invalid.
OTHR	Other	Another reason for the status rejected.
NCON	NotConvertible	The two share classes are not part of the same fund.
ACLO	AssetClosed	Asset instructed for transfer is closed.
NASS	AssetNotSupported	Asset does not support reregistration.
NQTY	QuantityBelowMinimum	Transfer quantity is too small.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.
ILLI	AssetsIlliquid	Assets are illiquid.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
DINV	DataInvalid	Data in the order or transfer instruction is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INTE	Intermediary	Intermediary is not recognised or is invalid.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.
PRCT	PercentageHoldingBreach	Percentage holding breach, for example, PPM rules; taxation rules (ERISA).
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
UPAY	UnacceptedPaymentMethod	Payment method, for example, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.

36.4.2.10.4.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Rejected reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

36.4.2.11 RequestIssuer <ReqIssr>

Presence: [0..1]

Definition: Party that issues the request message.

RequestIssuer <ReqIssr> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

36.4.2.12 RequestRecipient <ReqRcpt>

Presence: [0..1]

Definition: Party that receives the request message.

RequestRecipient <ReqRcpt> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

36.4.3 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

36.4.4 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: C4 ExtensionRule

Extension <Xtnsn> contains the following elements (see Extension1 on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

37 MX sese.010.001.07 TransferCancellationStatusReportV07

37.1 MessageDefinition Functionality

Scope

The TransferCancellationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or one of its authorised representatives to provide the status of a previously received transfer cancellation instruction.

Usage

The TransferCancellationStatusReport message is used to report on the status of a transfer in or transfer out cancellation request.

The reference of the transfer instruction for which the cancellation status is reported is identified in TransferReference. The message identification of the transfer cancellation request message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

The message identification of the transfer instruction request message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

One of the following statuses can be reported:

- the transfer cancellation is accepted, or,
- the transfer cancellation has been sent to the next party, or,
- the transfer cancellation is complete and the reason for the status,
- the transfer cancellation pending and the reason for the status,
- the transfer cancellation is rejected and the reason for the status.

Outline

The TransferCancellationStatusReportV07 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. CounterpartyReference
Unambiguous identification of the transfer allocated by the counterparty.
- C. Reference
Reference to the message or communication that was previously received.
- D. StatusReport
Status of the transfer cancellation instruction.
- E. MarketPracticeVersion

Identifies the market practice to which the message conforms.

F. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

37.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrfCxlStsRpt>	[1..1]		C4, C5	
	MessageIdentification <MsgId>	[1..1]	±		575
	CounterpartyReference <CtrPtyRef>	[0..1]	±		576
	Reference <Ref>	[0..1]	±		576
	StatusReport <StsRpt>	[1..1]			576
	MasterReference <MstrRef>	[0..1]	Text		577
	TransferReference <TrfRef>	[1..1]	Text		577
	ClientReference <ClntRef>	[0..1]	±		577
	CancellationReference <CxlRef>	[0..1]	Text		577
	Status <Sts>	[1..1]			578
{Or	Status <Sts>	[1..1]	±		578
Or	Rejected <Rjctd>	[1..1]	±		578
Or	Complete <Cmplt>	[1..1]	±		578
Or}	Pending <Pdg>	[1..1]	±		579
	StatusInitiator <StsInitr>	[0..1]	±		579
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		579
	Extension <Xtnsn>	[0..*]	±	C3	580

37.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C3 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C4 OtherReferenceRule

(Rule)

Reference/OtherReference should be used to reference a transfer cancellation request 'message' sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, References/OtherReference/MessageName must contain, for example, 'fax' or 'phone' or 'email'.

This constraint is defined at the MessageDefinition level.

C5 RelatedReferenceRule

(Rule)

If Reference/RelatedReference/MessageName is present, it must start with sese.002, sese.006, sese.009 or sese.014.

This constraint is defined at the MessageDefinition level.

37.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

37.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

37.4.2 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

Definition: Unambiguous identification of the transfer allocated by the counterparty.

CounterpartyReference <CtrPtyRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

37.4.3 Reference <Ref>

Presence: [0..1]

Definition: Reference to the message or communication that was previously received.

Reference <Ref> contains one of the following elements (see [References64Choice](#) on page 2000 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		2001
Or}	OtherReference <OthrRef>	[1..2]	±		2001

37.4.4 StatusReport <StsRpt>

Presence: [1..1]

Definition: Status of the transfer cancellation instruction.

StatusReport <StsRpt> contains the following **CancellationStatusAndReason5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		577
	TransferReference <TrfRef>	[1..1]	Text		577
	ClientReference <ClntRef>	[0..1]	±		577
	CancellationReference <CxlRef>	[0..1]	Text		577
	Status <Sts>	[1..1]			578
{Or	Status <Sts>	[1..1]	±		578
Or	Rejected <Rjctd>	[1..1]	±		578
Or	Complete <Cmplt>	[1..1]	±		578
Or}	Pending <Pdg>	[1..1]	±		579
	StatusInitiator <StsInitr>	[0..1]	±		579

37.4.4.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: [Max35Text on page 3409](#)

37.4.4.2 TransferReference <TrfRef>

Presence: [1..1]

Definition: Unique and unambiguous identification of the transfer, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

37.4.4.3 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <ClntRef> contains the following elements (see [AdditionalReference10 on page 2002](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

37.4.4.4 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a transfer cancellation, as assigned by the instructing party.

Datatype: [Max35Text](#) on page 3409

37.4.4.5 Status <Sts>

Presence: [1..1]

Definition: Status of the transfer cancellation.

Status <Sts> contains one of the following **Status31Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	±		578
Or	Rejected <Rjctd>	[1..1]	±		578
Or	Complete <Cmplt>	[1..1]	±		578
Or}	Pending <Pdg>	[1..1]	±		579

37.4.4.5.1 Status <Sts>

Presence: [1..1]

Definition: Status of the transfer cancellation is accepted or sent to next party.

Status <Sts> contains the following elements (see [TransferCancellationStatus3](#) on page 2963 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	CodeSet		2963
	Reason <Rsn>	[0..1]	Text		2963

37.4.4.5.2 Rejected <Rjctd>

Presence: [1..1]

Definition: Status of the transfer cancellation is rejected.

Rejected <Rjctd> contains the following elements (see [RejectionReason33](#) on page 3236 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			3236
{Or	Code <Cd>	[1..1]	CodeSet		3236
Or}	Proprietary <Prtry>	[1..1]	±		3237
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		3237

37.4.4.5.3 Complete <Cmplt>

Presence: [1..1]

Definition: Status of the transfer cancellation is complete. The cancellation instruction has been accepted and processed, the cancellation is complete.

Complete <Cmplt> contains the following elements (see [CancelledCompleteReason1](#) on page 3235 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			3235
{Or	Code <Cd>	[1..1]	CodeSet		3235
Or}	Proprietary <Prtry>	[1..1]	±		3235
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		3236

37.4.4.5.4 Pending <Pdg>

Presence: [1..1]

Definition: Status of the transfer cancellation is pending.

Pending <Pdg> contains the following elements (see [TransferCancellationPendingStatus1](#) on page 3225 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	Text		3225

37.4.4.6 StatusInitiator <StsInitr>

Presence: [0..1]

Definition: Party that initiates the status.

StatusInitiator <StsInitr> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

37.4.5 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

37.4.6 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C3 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

38 MX sese.011.001.09 TransferInstructionStatusReportV09

38.1 MessageDefinition Functionality

Scope

The TransferInstructionStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or one of its authorised representatives to provide the status of a previously received request for holdings information, portfolio transfer or transfer instruction.

It may also be used to report the status of an event related to the asset being transferred or provide additional information.

The TransferInstructionStatusReport message may also be sent by any party in the transfer transaction to another party in the transfer transaction chain to provide information relevant for the settlement of a transfer transaction.

Usage

The TransferInstructionStatusReport message is used to provide the status of a previously received request for holdings information, portfolio transfer or transfer instruction, or in response to a RequestForTransferStatus message. It may also be used to report the status of an event related to the asset being transferred or provide additional information.

Outline

The TransferInstructionStatusReportV09 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. CounterpartyReference

Unambiguous identification of the transfer allocated by the counterparty.

C. Reference

Reference to the message or communication that was previously received.

D. StatusReport

Status of the transfer instruction.

E. MarketPracticeVersion

Identifies the market practice to which the message conforms.

F. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

38.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root <Document> <TrfInstrStsRpt></i>	[1..1]		C18, C20	
	MessageIdentification <MsgId>	[1..1]	±		589
	CounterpartyReference <CtrPtyRef>	[0..1]	±		590
	Reference <Ref>	[0..1]	±		590
	StatusReport <StsRpt>	[1..1]		C7, C22, C23	590
	MasterReference <MstrRef>	[0..1]	Text		594
	TransferReference <TrfRef>	[1..1]	Text		594
	ClientReference <ClntRef>	[0..1]	±		594
	CancellationReference <CxlRef>	[0..1]	Text		595
	TransferEventType <TrfEvtTp>	[0..*]			595
{Or	Code <Cd>	[1..1]	CodeSet		595
Or}	Proprietary <Prtry>	[1..1]	±		596
	TransferStatus <TrfSts>	[1..1]			596
{Or	Status <Sts>	[1..1]	±		597
Or	PendingSettlement <PdgSttlm>	[1..1]	±		597
Or	Unmatched <Umtdhd>	[1..1]	±		597
Or	InRepair <InRpr>	[1..1]	±		597
Or	Rejected <Rjctd>	[1..10]		C19	598
	Reason <Rsn>	[1..1]			598
{Or	Code <Cd>	[1..1]	CodeSet		599
Or}	Proprietary <Prtry>	[1..1]	±		601
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		601
Or	FailedSettlement <FaildSttlm>	[1..1]	±		601
Or	Cancelled <Canc>	[1..1]	±		602
Or	Reversed <Rvsd>	[1..1]	±		602
Or}	CancellationPending <CxlPdg>	[1..1]	±		602
	Instrument <Instrm>	[0..1]			603
{Or	Security <Scty>	[1..1]	±	C15	603
Or	CashAsset <CshAsst>	[1..1]	±	C13	603

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	OtherAsset <OthrAsst>	[1..1]	±		604
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]			605
	OwnerIdentification <Ownrld>	[0..1]	±		605
	AccountIdentification <Acctld>	[0..1]	Text		605
	AccountDesignation <AcctDsgnt>	[0..1]	Text		605
	AccountName <AcctNm>	[0..1]	Text		606
	Type <Tp>	[0..1]	±		606
	Servicer <Svcr>	[0..1]	±		606
	SubAccountDetails <SubAcctDtls>	[0..1]	±		606
	IntermediaryInformation <IntrmyInf>	[0..*]	±		607
	TradeDate <TradDt>	[0..1]	Date		607
	SettlementDate <SttlmDt>	[0..1]	Date		607
	SendOutDate <SndOutDt>	[0..1]	Date		608
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		608
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	Quantity		608
	AveragePrice <AvrgPric>	[0..1]	Amount	C2	608
	UnitsDetails <UnitsDtls>	[0..*]	±		608
	Conversion <Convs>	[0..1]			609
	SourceSecurity <SrcScty>	[1..1]		C16	610
	Identification <Id>	[1..1]	±		610
	Name <Nm>	[0..1]	Text		611
	ShortName <ShrtNm>	[0..1]	Text		611
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	Quantity		611
	UnitsDetails <UnitsDtls>	[0..*]			612
	UnitsNumber <UnitsNb>	[1..1]	Quantity		612
	OrderDate <OrdrDt>	[0..1]	Date		612
	AcquisitionDate <AcqstnDt>	[0..1]	Date		612
	CertificateNumber <CertNb>	[0..*]	Text		612
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		612
	Reference <Ref>	[0..1]	Text		613
	AdditionalInformation <AddtlInf>	[0..*]	±		613

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalTransferValue <TtITrfVal>	[0..1]	Amount	C1	613
	PaymentDetails <PmtDtls>	[0..*]	±		614
	BenefitCrystallisationEvent <BnftCrstllstnEvt>	[0..*]	±		617
	DrawdownTranche <DrwdwnTrch>	[0..*]	±	C5	617
	OtherDrawdownInformation <OthrDrwdwnInf>	[0..1]			619
	EmploymentDetails <MplymntDtls>	[0..1]			619
	TaxCode <TaxCd>	[0..1]	±		620
	OtherTaxCodeIndicator <OthrTaxCdInd>	[0..1]	Indicator		620
	CumulativeTaxIndicator <CmltvTaxInd>	[0..1]	Indicator		620
	PreviousPay <PrvsPay>	[0..1]	Amount	C1, C10	621
	PreviousTax <PrvsTax>	[0..1]	Amount	C1, C10	621
	StartDate <StartDt>	[0..1]	±		622
	EndDate <EndDt>	[0..1]	±		622
	AdditionalInformation <AddtlInf>	[0..*]	±		622
	AdditionalInformation <AddtlInf>	[0..*]	±		623
	QueryResponse <QryRspn>	[0..*]	Text		623
	StatusInitiator <StsInitr>	[0..1]	±		623
	StatusIssuer <StsIssr>	[0..1]	±		623
	StatusRecipient <StsRcpt>	[0..1]	±		624
	AdditionalInformation <AddtlInf>	[0..*]	±		624
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		624
	Extension <Xtnsn>	[0..*]	±	C12	625

38.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C4 AppliedAmountRule

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

C5 BeneficiaryDetailsRule

(Rule)

If RecipientOfDrawdownIndicator is "false" or "0" (No), then BeneficiaryDetails is not allowed.

If RecipientOfDrawdownIndicator is "true" or "1" (Yes), then BeneficiaryDetails may be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00452
- *Error Text:* BeneficiaryDetails is not allowed.

C6 BICFI

(Rule)

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C7 ConversionRule

(Rule)

If at least one occurrence of TransferEventType is ConversionStatus (CONV) then Conversion must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00491
- *Error Text:* Conversion must be present.

C8 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C10 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C12 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C13 HoldingTransferCurrencyGuideline

(Rule)

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C14 IBAN

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C15 IdentificationGuideline

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C16 IdentificationGuideline

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C17 NonStandardSLAReferenceRule

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C18 OtherReferenceRule

(Rule)

Reference/OtherReference should be used to reference a transfer instruction or a transfer cancellation request 'message' sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

This constraint is defined at the MessageDefinition level.

C19 OtherRule

(Rule)

If Reason/Code/OTHR (Other) is present, then AdditionReasonInformation must be present and the reason for the rejection status must be provided.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C20 RelatedReferenceRule

(Rule)

If Reference/RelatedReference/MessageName is present, it must start with sese.001, sese.002, sese.005, sese.006, sese.009, sese.012 or sese.014.

This constraint is defined at the MessageDefinition level.

C21 TransactionOverheadElementRule

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C22 TransferStatusEventType1Rule

(Rule)

If at least one occurrence of TransferEventType is Information (INFO) then TransferStatus/Status/Status must be equal to Received (RECE). (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00488
- *Error Text:* TransferStatus must be 'Received'.

C23 TransferStatusEventType2Rule

(Rule)

If at least one occurrence of TransferEventType is ConversionStatus (CONV) then TransferStatus/Status/Status must be equal to Received (RECE). (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00490
- *Error Text:* TransferStatus must be 'Received'.

38.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

38.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

38.4.2 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

Definition: Unambiguous identification of the transfer allocated by the counterparty.

CounterpartyReference <CtrPtyRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

38.4.3 Reference <Ref>

Presence: [0..1]

Definition: Reference to the message or communication that was previously received.

Reference <Ref> contains one of the following elements (see [References64Choice](#) on page 2000 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		2001
Or}	OtherReference <OthrRef>	[1..2]	±		2001

38.4.4 StatusReport <StsRpt>

Presence: [1..1]

Definition: Status of the transfer instruction.

Impacted by: [C7 ConversionRule](#), [C22 TransferStatusEventType1Rule](#), [C23 TransferStatusEventType2Rule](#)

StatusReport <StsRpt> contains the following **TransferStatusAndReason8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		594
	TransferReference <TrfRef>	[1..1]	Text		594
	ClientReference <ClntRef>	[0..1]	±		594
	CancellationReference <CxlRef>	[0..1]	Text		595
	TransferEventType <TrfEvtTp>	[0..*]			595
{Or	Code <Cd>	[1..1]	CodeSet		595
Or}	Proprietary <Prtry>	[1..1]	±		596
	TransferStatus <TrfSts>	[1..1]			596
{Or	Status <Sts>	[1..1]	±		597
Or	PendingSettlement <PdgSttlm>	[1..1]	±		597
Or	Unmatched <Umtchd>	[1..1]	±		597
Or	InRepair <InRpr>	[1..1]	±		597
Or	Rejected <Rjctd>	[1..10]		C19	598
	Reason <Rsn>	[1..1]			598
{Or	Code <Cd>	[1..1]	CodeSet		599
Or}	Proprietary <Prtry>	[1..1]	±		601
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		601
Or	FailedSettlement <FaildSttlm>	[1..1]	±		601
Or	Cancelled <Canc>	[1..1]	±		602
Or	Reversed <Rvsd>	[1..1]	±		602
Or}	CancellationPending <CxlPdg>	[1..1]	±		602
	Instrument <Instrm>	[0..1]			603
{Or	Security <Scty>	[1..1]	±	C15	603
Or	CashAsset <CshAsst>	[1..1]	±	C13	603
Or}	OtherAsset <OthrAsst>	[1..1]	±		604
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]			605
	OwnerIdentification <Ownrld>	[0..1]	±		605
	AccountIdentification <AcctId>	[0..1]	Text		605
	AccountDesignation <AcctDsgnt>	[0..1]	Text		605
	AccountName <AcctNm>	[0..1]	Text		606
	Type <Tp>	[0..1]	±		606

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Servicer <Svcr>	[0..1]	±		606
	SubAccountDetails <SubAcctDtls>	[0..1]	±		606
	IntermediaryInformation <IntrmyInf>	[0..*]	±		607
	TradeDate <TradDt>	[0..1]	Date		607
	SettlementDate <SttlmDt>	[0..1]	Date		607
	SendOutDate <SndOutDt>	[0..1]	Date		608
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		608
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	Quantity		608
	AveragePrice <AvrgPric>	[0..1]	Amount	C2	608
	UnitsDetails <UnitsDtls>	[0..*]	±		608
	Conversion <Convs>	[0..1]			609
	SourceSecurity <SrcScty>	[1..1]		C16	610
	Identification <Id>	[1..1]	±		610
	Name <Nm>	[0..1]	Text		611
	ShortName <ShrtNm>	[0..1]	Text		611
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	Quantity		611
	UnitsDetails <UnitsDtls>	[0..*]			612
	UnitsNumber <UnitsNb>	[1..1]	Quantity		612
	OrderDate <OrdrDt>	[0..1]	Date		612
	AcquisitionDate <AcqstnDt>	[0..1]	Date		612
	CertificateNumber <CertNb>	[0..*]	Text		612
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		612
	Reference <Ref>	[0..1]	Text		613
	AdditionalInformation <AddtlInf>	[0..*]	±		613
	TotalTransferValue <TtlTrfVal>	[0..1]	Amount	C1	613
	PaymentDetails <PmtDtls>	[0..*]	±		614
	BenefitCrystallisationEvent <BnftCrstllstnEvt>	[0..*]	±		617
	DrawdownTranche <DrwdwnTrch>	[0..*]	±	C5	617
	OtherDrawdownInformation <OthrDrwdwnInf>	[0..1]			619
	EmploymentDetails <MplymntDtls>	[0..1]			619
	TaxCode <TaxCd>	[0..1]	±		620

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTaxCodeIndicator <OthrTaxCdInd>	[0..1]	Indicator		620
	CumulativeTaxIndicator <CmltvTaxInd>	[0..1]	Indicator		620
	PreviousPay <PrvsPay>	[0..1]	Amount	C1, C10	621
	PreviousTax <PrvsTax>	[0..1]	Amount	C1, C10	621
	StartDate <StartDt>	[0..1]	±		622
	EndDate <EndDt>	[0..1]	±		622
	AdditionalInformation <AddtlInf>	[0..*]	±		622
	AdditionalInformation <AddtlInf>	[0..*]	±		623
	QueryResponse <QryRspn>	[0..*]	Text		623
	StatusInitiator <StsInitr>	[0..1]	±		623
	StatusIssuer <StsIssr>	[0..1]	±		623
	StatusRecipient <StsRcpt>	[0..1]	±		624
	AdditionalInformation <AddtlInf>	[0..*]	±		624

Constraints

- **ConversionRule**

(Rule)

If at least one occurrence of TransferEventType is ConversionStatus (CONV) then Conversion must be present.

On Condition

`/TransferEventType[*]/Code` is equal to value 'ConversionStatus'

Following Must be True

`/Conversion` Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00491
- *Error Text:* Conversion must be present.

- **TransferStatusEventType1Rule**

(Rule)

If at least one occurrence of TransferEventType is Information (INFO) then TransferStatus/Status/Status must be equal to Received (RECE).

On Condition

`/TransferEventType[*]/Code` is equal to value 'Information'

Following Must be True

`/TransferStatus/Status/Status` Must be equal to value 'Received'

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00488
- *Error Text:* TransferStatus must be 'Received'.

• **TransferStatusEventType2Rule**

(Rule)

If at least one occurrence of TransferEventType is ConversionStatus (CONV) then TransferStatus/Status/Status must be equal to Received (RECE).

On Condition

```

    /TransferEventType[*]/Code is equal to value 'ConversionStatus'
    Following Must be True
    /TransferStatus/Status/Status Must be equal to value 'Received'
    
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00490
- *Error Text:* TransferStatus must be 'Received'.

38.4.4.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: Max35Text on page 3409

38.4.4.2 TransferReference <TrfRef>

Presence: [1..1]

Definition: Unique and unambiguous identification of the transfer, as assigned by the instructing party.

Datatype: Max35Text on page 3409

38.4.4.3 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <CIntRef> contains the following elements (see AdditionalReference10 on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

38.4.4.4 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a transfer cancellation, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

38.4.4.5 TransferEventType <TrfEvtTp>

Presence: [0..*]

Definition: Type of event for which the message is sent.

TransferEventType <TrfEvtTp> contains one of the following **TransferStatusType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		595
Or}	Proprietary <Prtry>	[1..1]	±		596

38.4.4.5.1 Code <Cd>

Presence: [1..1]

Definition: Type of event expressed as a code.

Datatype: [TransferStatusType2Code on page 3380](#)

CodeName	Name	Definition
S019	AccountHoldingInformationRequest	Status report is sent in response to an account holding information request.
BCEV	BenefitCrystallisationEvent	Status report advises one or more Benefit Crystallisation Events (BCE) have occurred.
SETT	CSDorICSDSettlementInformation	Status report is sent to provide information required for a CSD or ICSD settlement leg.
DRAW	Drawdown	Status report advises one or more drawdowns.
PAYA	PaymentAdvice	Status report advises cash is or has been instructed.
S012	PortfolioTransferInstruction	Status report is sent in response to a portfolio transfer instruction.
INFO	Information	Status report is sent to provide information pertinent to the transfer. May be sent in response to a request for transfer status.
STAT	Status	Status report is sent to provide the status of a transfer. May be sent in response to a request for transfer status.
S005	TransferInInstruction	Status report is sent in response to a transfer-in instruction.

CodeName	Name	Definition
S001	TransferOutInstruction	Status report is sent in response to a transfer-out instruction.
CONV	ConversionStatus	Status report is sent to provide the number of units following a conversion.

38.4.4.5.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of event expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification1 on page 2021](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

38.4.4.6 TransferStatus <TrfSts>

Presence: [1..1]

Definition: Status of the transfer instruction.

TransferStatus <TrfSts> contains one of the following **TransferStatus5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	±		597
Or	PendingSettlement <PdgSttlm>	[1..1]	±		597
Or	Unmatched <Umthcd>	[1..1]	±		597
Or	InRepair <InRpr>	[1..1]	±		597
Or	Rejected <Rjctd>	[1..10]		C19	598
	Reason <Rsn>	[1..1]			598
{Or	Code <Cd>	[1..1]	CodeSet		599
Or}	Proprietary <Prtry>	[1..1]	±		601
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		601
Or	FailedSettlement <FaildSttlm>	[1..1]	±		601
Or	Cancelled <Canc>	[1..1]	±		602
Or	Reversed <Rvsd>	[1..1]	±		602
Or}	CancellationPending <CxIPdg>	[1..1]	±		602

38.4.4.6.1 Status <Sts>

Presence: [1..1]

Definition: Status of the transfer is received, accepted, sent to next party, matched, already executed, or settled.

Status <Sts> contains the following elements (see [TransferInstructionStatus5](#) on page 2965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	CodeSet		2965
	Reason <Rsn>	[0..1]	Text		2966

38.4.4.6.2 PendingSettlement <PdgSttlm>

Presence: [1..1]

Definition: Status of the transfer is pending settlement.

PendingSettlement <PdgSttlm> contains one of the following elements (see [PendingSettlementStatus3Choice](#) on page 3232 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	CodeSet		3232
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		3234
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		3234
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3234

38.4.4.6.3 Unmatched <Umtchd>

Presence: [1..1]

Definition: Status of the transfer is unmatched.

Unmatched <Umtchd> contains one of the following elements (see [TransferUnmatchedStatus4Choice](#) on page 2963 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2964
Or	Reason <Rsn>	[1..1]	CodeSet		2964
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		2965
Or}	DataSourceScheme <DataSrcSchme>	[1..1]	±		2965

38.4.4.6.4 InRepair <InRpr>

Presence: [1..1]

Definition: Status of the transfer is in repair.

InRepair <InRpr> contains one of the following elements (see [InRepairStatus4Choice](#) on page 3231 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		3231
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		3231
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3232

38.4.4.6.5 Rejected <Rjctd>

Presence: [1..10]

Definition: Status of the transfer is rejected.

Impacted by: [C19 OtherRule](#)

Rejected <Rjctd> contains the following **RejectionReason56** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			598
{Or	Code <Cd>	[1..1]	CodeSet		599
Or}	Proprietary <Prtry>	[1..1]	±		601
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		601

Constraints

- **OtherRule**

(Rule)

If Reason/Code/OTHR (Other) is present, then AdditionReasonInformation must be present and the reason for the rejection status must be provided.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

38.4.4.6.5.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the rejected status.

Reason <Rsn> contains one of the following **RejectedReason45Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		599
Or}	Proprietary <Prtry>	[1..1]	±		601

38.4.4.6.5.1.1 Code <Cd>

Presence: [1..1]

Definition: Rejected reason expressed as a code.

Datatype: RejectedStatusReason13Code on page 3343

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
IAQD	AcquisitionDate	Acquisition date is not recognised or is invalid.
ICTN	CertificateNumber	Certificate number is not recognised or is invalid.
CYPA	CurrentYearPartial	Partial transfer of current year is not allowed, that is, it is not possible to transfer one asset for the current year as other assets are held for the current year.
TREF	DuplicateTransferReference	Transfer reference is a duplicate of a previously received transfer.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
FTAX	FinancialInstrumentTaxYear	Financial instrument is not valid for the requested tax year.
INID	InsufficientInvestorData	Investor data is insufficient. Applicable when the mandated market practice is not followed.
INAC	InvalidAccountServicer	Account servicer is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
INPM	InvalidNewPlanManager	New plan manager is not recognised or is invalid.
INNA	InvalidNomineeAccount	Nominee account is not recognised or is invalid.
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
INUK	InvestorNameAddressUnknown	Investor name and address is not recognised.
LEGL	LegallyImpossible	Legally impossible to cancel.

CodeName	Name	Definition
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
PTNS	PartialNotSupported	Partial transfer is not supported. Applicable when tax years are rolled up and because, for example, a transfer request for tax year 2000 only is received, it is not possible to process the transfer as the investor holds other tax years as well.
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
ISTP	SettlementParties	One or several settlement parties are not recognised or are invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
ISAT	InvalidISAType	ISA type is not recognised or invalid.
OTHR	Other	Another reason for the status rejected.
NCON	NotConvertible	The two share classes are not part of the same fund.
ACLO	AssetClosed	Asset instructed for transfer is closed.
NASS	AssetNotSupported	Asset does not support reregistration.
NQTY	QuantityBelowMinimum	Transfer quantity is too small.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.
ILLI	AssetsIlliquid	Assets are illiquid.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
DINV	DataInvalid	Data in the order or transfer instruction is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INTE	Intermediary	Intermediary is not recognised or is invalid.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.

CodeName	Name	Definition
PRCT	PercentageHoldingBreach	Percentage holding breach, for example, PPM rules; taxation rules (ERISA).
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
UPAY	UnacceptedPaymentMethod	Payment method, for example, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.
NCMP	NotCompliantWithMarketPractice	Instruction is not compliant with the relevant market practice.

38.4.4.6.5.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Rejected reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

38.4.4.6.5.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Additional information about the rejected status reason.

Datatype: [Max350Text on page 3409](#)

38.4.4.6.6 FailedSettlement <FaildSttlm>

Presence: [1..1]

Definition: Status of the transfer is failed settlement, that is, settlement in the International Central Securities Depository (ICSD) or Central Securities Depository (CSD) failed.

FailedSettlement <FaildSttlm> contains one of the following elements (see [FailedSettlementStatus2Choice](#) on page 3230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		3231
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		3231
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3231

38.4.4.6.7 Cancelled <Canc>

Presence: [1..1]

Definition: Status of the transfer is cancelled.

Cancelled <Canc> contains one of the following elements (see [CancelledStatus13Choice](#) on page 3229 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3229
Or	Reason <Rsn>	[1..1]	CodeSet		3230
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		3230
Or}	DataSourceScheme <DataSrcSchme>	[1..1]	±		3230

38.4.4.6.8 Reversed <Rvsd>

Presence: [1..1]

Definition: Status of the transfer is reversed.

Reversed <Rvsd> contains one of the following elements (see [ReversedStatus2Choice](#) on page 3228 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		3229
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		3229
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3229

38.4.4.6.9 CancellationPending <CxIPdg>

Presence: [1..1]

Definition: Status of the transfer is cancellation pending.

CancellationPending <CxIPdg> contains one of the following elements (see [CancellationPendingStatus7Choice](#) on page 3227 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		3228
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		3228
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3228

38.4.4.7 Instrument <Instrm>

Presence: [0..1]

Definition: Identification of the asset.

Instrument <Instrm> contains one of the following **FinancialInstrument63Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Security <Scty>	[1..1]	±	C15	603
Or	CashAsset <CshAsst>	[1..1]	±	C13	603
Or}	OtherAsset <OthrAsst>	[1..1]	±		604

38.4.4.7.1 Security <Scty>

Presence: [1..1]

Definition: Identification of the security.

Impacted by: [C15 IdentificationGuideline](#)

Security <Scty> contains the following elements (see [FinancialInstrumentIdentification2](#) on page 1925 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1926
	Name <Nm>	[0..1]	Text		1927
	ShortName <ShrtNm>	[0..1]	Text		1927
	ClassificationType <ClssfctnTp>	[0..1]	±		1927

Constraints

- **IdentificationGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

38.4.4.7.2 CashAsset <CshAsst>

Presence: [1..1]

Definition: Identification of the cash asset.

Impacted by: [C13 HoldingTransferCurrencyGuideline](#)

CashAsset <CshAsst> contains the following elements (see [CashAsset3](#) on page 1923 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1924
{Or	Code <Cd>	[1..1]	CodeSet		1924
Or}	Proprietary <Prtry>	[1..1]	±		1924
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C2	1924
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	1925
	AdditionalInformation <AddtlInf>	[0..1]	±		1925

Constraints

- **HoldingTransferCurrencyGuideline**

(Rule)

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

38.4.4.7.3 OtherAsset <OthrAsst>

Presence: [1..1]

Definition: Identification of another kind of asset in the holding that is not a security or cash.

OtherAsset <OthrAsst> contains the following elements (see [OtherAsset2](#) on page 1921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1921
{Or	Code <Cd>	[1..1]	CodeSet		1922
Or}	Proprietary <Prtry>	[1..1]	±		1922
	Identification <Id>	[1..1]	Text		1922
	Name <Nm>	[0..1]	Text		1922
	Description <Desc>	[0..1]	Text		1923
	OtherIdentification <OthrlId>	[0..5]	Text		1923
	AdditionalInformation <AddtlInf>	[0..*]	±		1923

38.4.4.8 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Investment account information of the transfer for which the status or information is provided.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following **Account33** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		605
	AccountIdentification <Acctld>	[0..1]	Text		605
	AccountDesignation <AcctDsgnt>	[0..1]	Text		605
	AccountName <AcctNm>	[0..1]	Text		606
	Type <Tp>	[0..1]	±		606
	Servicer <Svcr>	[0..1]	±		606
	SubAccountDetails <SubAcctDtls>	[0..1]	±		606

38.4.4.8.1 OwnerIdentification <Ownrld>

Presence: [0..1]

Definition: Party that legally owns the account.

OwnerIdentification <Ownrld> contains the following elements (see [PartyIdentification132](#) on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <Prtryld>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

38.4.4.8.2 AccountIdentification <Acctld>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text](#) on page 3409

38.4.4.8.3 AccountDesignation <AcctDsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text on page 3409](#)

38.4.4.8.4 AccountName <AcctNm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text on page 3409](#)

38.4.4.8.5 Type <Tp>

Presence: [0..1]

Definition: Specifies the type of securities account.

Type <Tp> contains the following elements (see [GenericIdentification30 on page 2012](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

38.4.4.8.6 Servicer <Svcr>

Presence: [0..1]

Definition: Institution that maintains the records where the account is held.

Servicer <Svcr> contains the following elements (see [PartyIdentification132 on page 2602](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

38.4.4.8.7 SubAccountDetails <SubAcctDtls>

Presence: [0..1]

Definition: Sub-account of the master or omnibus account.

SubAccountDetails <SubAcctDtls> contains the following elements (see [SubAccount5](#) on page 1602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1602
	Name <Nm>	[0..1]	Text		1602
	Characteristic <Chrtc>	[0..1]	Text		1602

38.4.4.9 IntermediaryInformation <IntrmyInf>

Presence: [0..*]

Definition: Identification of a related party or intermediary.

IntermediaryInformation <IntrmyInf> contains the following elements (see [Intermediary48](#) on page 2496 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2497
	Account <Acct>	[0..1]			2497
	AccountIdentification <AcctId>	[0..1]	Text		2498
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2498
	AccountName <AcctNm>	[0..1]	Text		2498
	AccountServicer <AcctSvcr>	[1..1]	±		2498
	RegistrationAddress <RegnAdr>	[0..1]	±		2499
	Role <Role>	[0..1]			2499
{Or	Code <Cd>	[1..1]	CodeSet		2499
Or}	Proprietary <Prtry>	[1..1]	±		2501
	ContactPerson <CtctPrsn>	[0..1]	±		2501

38.4.4.10 TradeDate <TradDt>

Presence: [0..1]

Definition: Date on which the transfer was executed.

In some scenarios, this is the date and time to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: [ISODate](#) on page 3391

38.4.4.11 SettlementDate <SttlmDt>

Presence: [0..1]

Definition: Date at which the securities are to be exchanged or were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: [ISODate on page 3391](#)

38.4.4.12 SendOutDate <SndOutDt>

Presence: [0..1]

Definition: Date on which the document, for example, the application form, was sent.

Datatype: [ISODate on page 3391](#)

38.4.4.13 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: [ISODate on page 3391](#)

38.4.4.14 TotalUnitsNumber <TtlUnitsNb>

Presence: [0..1]

Definition: Number of units to be transferred.

Datatype: [DecimalNumber on page 3405](#)

38.4.4.15 AveragePrice <AvrgPric>

Presence: [0..1]

Definition: Weighted average price of the units in the account. The average price may also be known as the average acquisition price.

Impacted by: [C2 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

38.4.4.16 UnitsDetails <UnitsDtls>

Presence: [0..*]

Definition: Breakdown of units to be transferred.

UnitsDetails <UnitsDtls> contains the following elements (see [Unit11](#) on page 1944 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1945
	OrderDate <OrdrDt>	[0..1]	Date		1945
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1945
	CertificateNumber <CertNb>	[0..*]	Text		1946
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1946
	Reference <Ref>	[0..1]	Text		1946
	PriceDetails <PricDtls>	[0..1]	±		1946
	TransactionOverhead <TxOvrhd>	[0..1]		C17, C21	1947
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1948
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1949
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1949
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1950
	IndividualFee <IndvFee>	[0..*]	±	C6	1950
	IndividualTax <IndvTax>	[0..*]	±		1952
	OtherAmount <OthrAmt>	[0..*]			1952
	Type <Tp>	[1..1]			1952
{Or	Code <Cd>	[1..1]	CodeSet		1953
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1953
	Amount <Amt>	[1..1]	Amount	C2, C10	1953

38.4.4.17 Conversion <Convs>

Presence: [0..1]

Definition: Information about the source security following a conversion.

Conversion <Convs> contains the following **Conversion2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SourceSecurity <SrcScty>	[1..1]		C16	610
	Identification <Id>	[1..1]	±		610
	Name <Nm>	[0..1]	Text		611
	ShortName <ShrtNm>	[0..1]	Text		611
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	Quantity		611
	UnitsDetails <UnitsDtls>	[0..*]			612
	UnitsNumber <UnitsNb>	[1..1]	Quantity		612
	OrderDate <OrdrDt>	[0..1]	Date		612
	AcquisitionDate <AcqstnDt>	[0..1]	Date		612
	CertificateNumber <CertNb>	[0..*]	Text		612
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		612
	Reference <Ref>	[0..1]	Text		613
	AdditionalInformation <AddtlInf>	[0..*]	±		613

38.4.4.17.1 SourceSecurity <SrcScty>

Presence: [1..1]

Definition: Identification of the source security.

Impacted by: [C16 IdentificationGuideline](#)

SourceSecurity <SrcScty> contains the following **FinancialInstrumentIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		610
	Name <Nm>	[0..1]	Text		611
	ShortName <ShrtNm>	[0..1]	Text		611

Constraints

- **IdentificationGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

38.4.4.17.1.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.

Identification <Id> contains one of the following elements (see [SecurityIdentification25Choice](#) on page 1928 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1928
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1929
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1929
Or	RIC <RIC>	[1..1]	IdentifierSet		1929
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1929
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1929
Or	CTA <CTA>	[1..1]	IdentifierSet		1929
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1929
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1930
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1930
Or	Valoren <Vlrr>	[1..1]	IdentifierSet		1930
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1930
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1930
Or	Common <Cmon>	[1..1]	IdentifierSet		1930
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1930
	Identification <Id>	[1..1]	Text		1931
	IdentificationSource <IdSrc>	[1..1]	±		1931

38.4.4.17.1.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text](#) on page 3409

38.4.4.17.1.3 ShortName <ShrtNm>

Presence: [0..1]

Definition: Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

Datatype: [Max35Text](#) on page 3409

38.4.4.17.2 TotalUnitsNumber <TtlUnitsNb>

Presence: [0..1]

Definition: Number of units of the source security.

Datatype: [DecimalNumber](#) on page 3405

38.4.4.17.3 UnitsDetails <UnitsDtIs>

Presence: [0..*]

Definition: Breakdown of units of the source security.

UnitsDetails <UnitsDtIs> contains the following **Unit13** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		612
	OrderDate <OrdrDt>	[0..1]	Date		612
	AcquisitionDate <AcqstnDt>	[0..1]	Date		612
	CertificateNumber <CertNb>	[0..*]	Text		612
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		612
	Reference <Ref>	[0..1]	Text		613

38.4.4.17.3.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Quantity of units.

Datatype: [DecimalNumber on page 3405](#)

38.4.4.17.3.2 OrderDate <OrdrDt>

Presence: [0..1]

Definition: Date the investor or its agent placed the original order.

Datatype: [ISODate on page 3391](#)

38.4.4.17.3.3 AcquisitionDate <AcqstnDt>

Presence: [0..1]

Definition: Date the investor purchased the financial instrument.

Datatype: [ISODate on page 3391](#)

38.4.4.17.3.4 CertificateNumber <CertNb>

Presence: [0..*]

Definition: Certificate representing the security.

Datatype: [Max35Text on page 3409](#)

38.4.4.17.3.5 Group1Or2Units <Grp1Or2Units>

Presence: [0..1]

Definition: Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

Datatype: [UKTaxGroupUnit1Code on page 3390](#)

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

38.4.4.17.3.6 Reference <Ref>

Presence: [0..1]

Definition: Reference to the units number. This may be the order reference of the original acquisition, the identification of a lot, a client reference, a sub-position reference or other related reference.

Datatype: Max35Text on page 3409

38.4.4.17.4 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the conversion.

AdditionalInformation <AddtlInf> contains the following elements (see AdditionalInformation15 on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

38.4.4.18 TotalTransferValue <TtlTrfVal>

Presence: [0..1]

Definition: Total transfer value.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

38.4.4.19 PaymentDetails <PmtDtls>

Presence: [0..*]

Definition: Details of a payment that will result from or resulting from the liquation of an asset and transfer of cash or for the transfer of cash that was not invested.

PaymentDetails <PmtDtls> contains the following elements (see [PaymentInstrument18](#) on page 2661 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2664
	Amount <Amt>	[1..1]	Amount	C2	2664
	PaymentDate <PmtDt>	[0..1]	Date		2664
	CashSettlementDetails <CshStlMdtls>	[0..1]			2665
{Or	CreditTransferDetails <CdtTrfDtls>	[0..1]			2668
	Debtor <Dbtr>	[0..1]	±		2670
	DebtorAccount <DbtrAcct>	[0..1]			2671
	Name <Nm>	[0..1]	Text		2671
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2671
	Other <Othr>	[0..1]	±		2672
	DebtorAgent <DbtrAgt>	[0..1]			2672
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2672
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2673
	NameAndAddress <NmAndAdr>	[0..1]	±		2674
	LEI <LEI>	[0..1]	IdentifierSet		2674
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2675
	BranchIdentification <BrnchId>	[0..1]	±		2675
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2675
	Name <Nm>	[0..1]	Text		2675
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2675
	Other <Othr>	[0..1]	±		2676
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2676
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2677
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2677
	NameAndAddress <NmAndAdr>	[0..1]	±		2678
	LEI <LEI>	[0..1]	IdentifierSet		2678
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2679
	BranchIdentification <BrnchId>	[0..1]	±		2679
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2679
	Name <Nm>	[0..1]	Text		2679

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2679
	Other <Othr>	[0..1]	±		2680
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2680
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2681
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2681
	NameAndAddress <NmAndAdr>	[0..1]	±		2682
	LEI <LEI>	[0..1]	IdentifierSet		2682
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2683
	BranchIdentification <Brnchld>	[0..1]	±		2683
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2683
	Name <Nm>	[0..1]	Text		2683
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2683
	Other <Othr>	[0..1]	±		2684
	CreditorAgent <CdtrAgt>	[1..1]			2684
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2685
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2685
	NameAndAddress <NmAndAdr>	[0..1]	±		2686
	LEI <LEI>	[0..1]	IdentifierSet		2686
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2687
	BranchIdentification <Brnchld>	[0..1]	±		2687
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2687
	Name <Nm>	[0..1]	Text		2687
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2687
	Other <Othr>	[0..1]	±		2688
	Creditor <Cdtr>	[0..1]	±		2688
	CreditorAccount <CdtrAcct>	[1..1]			2689
	Name <Nm>	[0..1]	Text		2689
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2689
	Other <Othr>	[0..1]	±		2690
Or}	ChequeDetails <ChqDtls>	[1..1]			2690
	Number <Nb>	[0..1]	Text		2691

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Payeeldentification <Pyeeld>	[0..1]	±		2691
	Draweeldentification <Drweeld>	[0..1]			2691
	Party <Pty>	[1..1]			2691
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		2692
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	2692
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		2692
Or}	ProprietaryIdentification <Prtryld>	[1..1]	Text		2693
	LEI <LEI>	[0..1]	IdentifierSet		2693
	DrawerIdentification <Drwrld>	[0..1]	±		2694

38.4.4.20 BenefitCrystallisationEvent <BnftCrstllstnEvt>

Presence: [0..*]

Definition: Information about the realisation of benefits taken from a pension.

BenefitCrystallisationEvent <BnftCrstllstnEvt> contains the following elements (see [BenefitCrystallisationEvent2](#) on page 2241 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EventTypeNumber <EvtTpNb>	[0..1]	Text		2241
	EventTypeName <EvtTpNm>	[0..1]	Text		2241
	EventDate <EvtDt>	[0..1]	Date		2242
	CrystallisationAmount <CrstllstnAmt>	[0..1]	Amount	C2	2242
	PercentageOfAllowance <PctgOfAllwnc>	[0..1]	Rate		2242
	LifetimeAllowanceProtection <LftmAllwncPrtcn>	[0..1]	Indicator		2242
	AdditionalInformation <AddtlInf>	[0..*]	±		2242

38.4.4.21 DrawdownTranche <DrwdwnTrch>

Presence: [0..*]

Definition: Details of a drawdown tranche.

Impacted by: [C5 BeneficiaryDetailsRule](#)

DrawdownTranche <DrwdwnTrch> contains the following elements (see [Drawdown2](#) on page 2232 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2234
	TrancheType <TrchTp>	[1..1]	±		2234
	ApplicableRules <AplblRules>	[0..1]			2234
{Or	Code <Cd>	[1..1]	CodeSet		2234
Or}	Proprietary <Prtry>	[1..1]	±		2235
	InvestorTaxReference <InvstrTaxRef>	[0..1]			2235
	Type <Tp>	[0..1]			2235
{Or	Code <Cd>	[1..1]	CodeSet		2235
Or}	Proprietary <Prtry>	[1..1]	±		2236
	Reference <Ref>	[1..1]	Text		2236
	PercentageOfTotalTransferValue <PctgOfTtlTrfVal>	[0..1]	Rate		2236
	TotalAmountNetDrawdown <TtlAmtNetDrwdwn>	[0..1]	Amount	C2	2236
	AdditionalFundsDesignated <AddtlFndsDsgntd>	[0..1]	Indicator		2237
	PensionCommencementLumpSumRemaining <PnsnCmcmntLumpSumRmng>	[0..1]	Amount	C2	2237
	PensionCommencementLumpSumDate <PnsnCmcmntLumpSumDt>	[0..1]	Date		2237
	MultiplePensionCommencementLumpSums <MltplPnsnCmcmntLumpSums>	[0..1]	Indicator		2237
	LifetimeAllowance <LftmAllwnc>	[0..1]	Rate		2238
	RecipientOfDrawdownIndicator <RcptOfDrwdwnInd>	[0..1]	Indicator		2238
	BeneficiaryDetails <BnfcryDtls>	[0..1]	±		2238
	CappedLimits <CapdLmts>	[0..1]			2238
	StartDate <StartDt>	[0..1]	Date		2239
	IncomeLimitCurrentPeriod <IncmLmtCurPrd>	[0..1]	Amount	C2	2239
	IncomeCurrentPeriod <IncmCurPrd>	[0..1]	Amount	C2	2239
	IncomeLimitNextPeriod <IncmLmtNxtPrd>	[0..1]	Amount	C2	2240
	AdditionalInformation <AddtlInf>	[0..*]	±		2240
	FlexibleDrawdownTriggeredDate <FlxblDrwdwnTrggrdDt>	[0..1]	Date		2241
	AdditionalInformation <AddtlInf>	[0..*]	±		2241

Constraints

• **BeneficiaryDetailsRule**

(Rule)

If RecipientOfDrawdownIndicator is "false" or "0" (No), then BeneficiaryDetails is not allowed.

If RecipientOfDrawdownIndicator is "true" or "1" (Yes), then BeneficiaryDetails may be present.

On Condition

 /RecipientOfDrawdownIndicator is equal to value 'false'

Or /RecipientOfDrawdownIndicator is equal to value '0'

Following Must be True

 /BeneficiaryDetails Must be absent

Error handling:

- Error severity: Fatal
- Error Code: X00452
- Error Text: BeneficiaryDetails is not allowed.

38.4.4.22 OtherDrawdownInformation <OthrDrwdwnInf>

Presence: [0..1]

Definition: Drawdown information not specifically associated with a drawdown tranche.

OtherDrawdownInformation <OthrDrwdwnInf> contains the following **Drawdown3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EmploymentDetails <MplymntDtls>	[0..1]			619
	TaxCode <TaxCd>	[0..1]	±		620
	OtherTaxCodeIndicator <OthrTaxCdInd>	[0..1]	Indicator		620
	CumulativeTaxIndicator <CmltvTaxInd>	[0..1]	Indicator		620
	PreviousPay <PrvsPay>	[0..1]	Amount	C1, C10	621
	PreviousTax <PrvsTax>	[0..1]	Amount	C1, C10	621
	StartDate <StartDt>	[0..1]	±		622
	EndDate <EndDt>	[0..1]	±		622
	AdditionalInformation <AddtlInf>	[0..*]	±		622
	AdditionalInformation <AddtlInf>	[0..*]	±		623

38.4.4.22.1 EmploymentDetails <MplymntDtls>

Presence: [0..1]

Definition: Previous employment information.

EmploymentDetails <MplymntDtIs> contains the following **EmploymentDetails1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxCode <TaxCd>	[0..1]	±		620
	OtherTaxCodeIndicator <OthrTaxCdInd>	[0..1]	Indicator		620
	CumulativeTaxIndicator <CmltvTaxInd>	[0..1]	Indicator		620
	PreviousPay <PrvsPay>	[0..1]	Amount	C1, C10	621
	PreviousTax <PrvsTax>	[0..1]	Amount	C1, C10	621
	StartDate <StartDt>	[0..1]	±		622
	EndDate <EndDt>	[0..1]	±		622
	AdditionalInformation <AddtlInf>	[0..*]	±		622

38.4.4.22.1.1 TaxCode <TaxCd>

Presence: [0..1]

Definition: Current tax code.

TaxCode <TaxCd> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

38.4.4.22.1.2 OtherTaxCodeIndicator <OthrTaxCdInd>

Presence: [0..1]

Definition: Indicates whether or not another tax code exists.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

38.4.4.22.1.3 CumulativeTaxIndicator <CmltvTaxInd>

Presence: [0..1]

Definition: Indicates whether tax is cumulative or non-cumulative. In the UK, this is known as the W1M1 indicator.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

38.4.4.22.1.4 PreviousPay <PrvsPay>

Presence: [0..1]

Definition: Amount of the previous pay.

Impacted by: C1 ActiveCurrency ____, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

38.4.4.22.1.5 PreviousTax <PrvsTax>

Presence: [0..1]

Definition: Amount of the previous tax.

Impacted by: C1 ActiveCurrency ____, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

38.4.4.22.1.6 StartDate <StartDt>

Presence: [0..1]

Definition: Start date of the employment period.

StartDate <StartDt> contains one of the following elements (see [DateFormat42Choice](#) on page 1826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	YearMonth <YrMnth>	[1..1]	YearMonth		1826
Or}	YearMonthDay <YrMnthDay>	[1..1]	Date		1826

38.4.4.22.1.7 EndDate <EndDt>

Presence: [0..1]

Definition: End date of the employment period.

EndDate <EndDt> contains one of the following elements (see [DateFormat42Choice](#) on page 1826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	YearMonth <YrMnth>	[1..1]	YearMonth		1826
Or}	YearMonthDay <YrMnthDay>	[1..1]	Date		1826

38.4.4.22.1.8 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the employment.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

38.4.4.22.2 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the drawdown.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

38.4.4.23 QueryResponse <QryRspn>

Presence: [0..*]

Definition: Response information.

Datatype: [Max350Text on page 3409](#)

38.4.4.24 StatusInitiator <StsInitr>

Presence: [0..1]

Definition: Party that initiates the status.

StatusInitiator <StsInitr> contains the following elements (see [PartyIdentification139 on page 2619](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

38.4.4.25 StatusIssuer <StsIssr>

Presence: [0..1]

Definition: Party that issues the status or information message.

StatusIssuer <StsIssr> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

38.4.4.26 StatusRecipient <StsRcpt>

Presence: [0..1]

Definition: Party that receives the status or information message.

StatusRecipient <StsRcpt> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

38.4.4.27 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the status.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

38.4.5 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

38.4.6 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C12 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

39 MX sese.012.001.11 PortfolioTransferInstructionV11

39.1 MessageDefinition Functionality

Scope

The PortfolioTransferInstruction message is sent by an instructing party, for example, a (new) plan manager (transferee), to the executing party, for example, a (old) plan manager (transferor), on behalf of the initiating party, for example, an investor (client), to instruct the transfer of financial instruments from the client's account at the old plan manager (transferor) to the clients account at the new plan manager (transferee).

Usage

The PortfolioTransferInstruction message is used to instruct one or more portfolio transfers for one client. Each portfolio transfer is for delivery to the same account. The account may be owned by one or more individual investors or one or more corporate investors.

If the instructing party does not have enough information to instruct the portfolio transfer, then it must first send an AccountHoldingInformationRequest message to the executing party in order to receive an AccountHoldingInformation message.

Outline

The PortfolioTransferInstructionV11 MessageDefinition is composed of 16 MessageBuildingBlocks:

A. MessageReference

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. PrimaryIndividualInvestor

Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

F. SecondaryIndividualInvestor

Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

G. OtherIndividualInvestor

Information identifying the other individual investors, for example, name, address, social security number and date of birth.

H. PrimaryCorporateInvestor

Information identifying the primary corporate investor, for example, name and address.

I. SecondaryCorporateInvestor

Information identifying the secondary corporate investor, for example, name and address.

J. OtherCorporateInvestor

Information identifying the other corporate investors, for example, name and address.

K. TransferorAccount

Identification of the account owned by the investor at the old plan manager (account servicer).

L. NomineeAccount

Account held in the name of a party that is not the name of the beneficial owner of the shares.

M. Transferee

Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

N. ProductTransfer

Information about the portfolio and assets.

O. MarketPracticeVersion

Identifies the market practice to which the message conforms.

P. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

39.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PrflTrfInstr>	[1..1]		C14, C15, C26, C27, C28	
	MessageReference <MsgRef>	[1..1]	±		639
	PoolReference <PoolRef>	[0..1]	±		639
	PreviousReference <PrvsRef>	[0..1]	±		640
	RelatedReference <RltdRef>	[0..1]	±		640
	PrimaryIndividualInvestor <PmryIndvInvstr>	[0..1]	±	C37	640
	SecondaryIndividualInvestor <ScndryIndvInvstr>	[0..1]	±	C37	641
	OtherIndividualInvestor <OthrIndvInvstr>	[0..*]	±	C37	642
	PrimaryCorporateInvestor <PmryCorplInvstr>	[0..1]	±		642
	SecondaryCorporateInvestor <ScndryCorplInvstr>	[0..1]	±		643
	OtherCorporateInvestor <OthrCorplInvstr>	[0..*]	±		643
	TransferorAccount <TrfrAcct>	[1..1]	±		644
	NomineeAccount <NmneeAcct>	[0..1]	±		644
	Transferee <Trfee>	[1..1]	±		645
	ProductTransfer <PdctTrf>	[1..*]			645
	MasterReference <MstrRef>	[0..1]	Text		647
	TransferIdentification <Trfld>	[1..1]	Text		648
	TransferConfirmationIdentification <TrfConfld>	[0..1]	Text		648
	RequestedTransferDate <ReqdTrfDt>	[0..1]	Date		648
	Portfolio <Prfl>	[0..1]			648
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]	±		649
Or	GeneralInvestment <GnllInvstmt>	[1..1]	±		650
Or}	Pension <Pnsn>	[1..1]			650
	Identification <Id>	[0..1]			651
	Identifier <Idr>	[1..1]	Text		651
	Subidentifier <Subldr>	[0..1]	Text		651
	AdditionalInformation <AddtlInf>	[0..1]	±		651
	Type <Tp>	[0..1]			652

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		652
Or}	Proprietary <Prtry>	[1..1]	±		653
	TransferScope <TrfScp>	[0..1]	±		653
	TaxReference <TaxRef>	[0..*]	±		654
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		654
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		654
	AdditionalInformation <AddtlInf>	[0..*]	±		654
	AllOtherCash <AllOthrCsh>	[0..*]	±		655
	CashAll <CshAll>	[0..*]	±		655
	ResidualCash <RsdICsh>	[0..*]	±		655
	PaymentDetails <PmtDtls>	[0..1]	±		655
	FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>	[0..*]		C7, C8, C9, C12, C13, C30	657
	LineIdentification <LineId>	[0..1]	Text		660
	Instrument <Instrm>	[1..1]			660
{Or	Security <Scty>	[1..1]	±	C24	661
Or	CashAsset <CshAsst>	[1..1]	±	C22	661
Or}	OtherAsset <OthrAsst>	[1..1]	±		662
	Quantity <Qty>	[0..1]	±		662
	PartialInstructedQuantity <PrtlInstdQty>	[0..1]	Indicator		663
	TransferType <TrfTp>	[1..1]	±	C35	663
	AdditionalAsset <AddtlAsst>	[0..1]	Indicator		663
	NotAvailable <NotAvlbl>	[0..1]	Indicator		664
	Conversion <Convs>	[0..1]	±		664
	UnitsDetails <UnitsDtls>	[0..*]	±		664
	ClientReference <ClntRef>	[0..1]	±		665
	CounterpartyReference <CtrPtyRef>	[0..1]	±		666
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		666
	AverageAcquisitionPrice <AvgAcqstnPric>	[0..1]	Amount	C2, C17	666
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	667
	TotalBookValue <TtlBookVal>	[0..1]	±		667

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	TransfereeAccount <TrfeeAcct>	[0..1]	±		668
	Transferor <Trfr>	[0..1]	±		668
	IntermediaryInformation <IntrmyInf>	[0..*]	±		668
	RequestedTransferDate <ReqdTrfDt>	[0..1]	Date		669
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		669
	RequestedSettlementDate <ReqdStlmDt>	[0..1]	Date		669
	PaymentDetails <PmtDtls>	[0..1]	±		669
	CrystallisationDetails <CrstllstnDtls>	[0..*]	±		671
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		672
	SettlementPartiesDetails <StlmPtiesDtls>	[0..1]	±		672
	AssetsHeldInOwnName <AsstsHeldInOwnNm>	[0..1]	Indicator		673
	TransferResultsInChangeOfBeneficialOwner <TrfRsltsInChngOfBnfcIOwnr>	[0..1]	Indicator		673
	AdditionalInformation <AddtlInf>	[0..*]	±		673
	AdditionalInformation <AddtlInf>	[0..*]	±		674
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		674
	Extension <Xtnsn>	[0..*]	±	C21	674

39.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AdditionalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C4 AdditionalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C5 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 AppliedAmountRule

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

C7 AssetLiquidatedCurrencyGuideline

(Rule)

When a security is to be liquidated and transferred as cash (TransferType is CASH), then the currency of the resulting cash is specified in TransferCurrency.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C8 AssetQuantity1Guideline

(Rule)

If Instrument/Security is present and Quantity is present, then Quantity/Unit or Quantity/PercentageRate or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C9 AssetQuantity2Guideline

(Rule)

If Instrument/CashAsset is present and Quantity is present, then Quantity/CashAmount or Quantity/Percentage must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C10 BICFI

(Rule)

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C11 BookTransferGuideline

(Rule)

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on www.smpg.info.

C12 Conversion1Rule

(Rule)

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00464
- *Error Text:* Conversion must be present.

C13 Conversion2Rule

(Rule)

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00465
- *Error Text:* Conversion is not allowed.

C14 Corporate1Rule

(Rule)

If PrimaryCorporateInvestor is not present, then SecondaryCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then SecondaryCorporateInvestor may be present. (CrossElementComplexRule)

On Condition

 /PrimaryCorporateInvestor is absent

Following Must be True

 /SecondaryCorporateInvestor Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00455
- *Error Text:* SecondaryCorporateInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C15 Corporate2Rule

(Rule)

If PrimaryCorporateInvestor is not present, then OtherCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then OtherCorporateInvestor may be present. (CrossElementComplexRule)

On Condition

 /PrimaryCorporateInvestor is absent

Following Must be True

 /OtherCorporateInvestor[*] Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00456
- *Error Text:* OtherCorporateInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C16 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C17 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C18 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C19 DepositoryGuideline

(Rule)

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on www.smpg.info.

C20 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C21 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C22 HoldingTransferCurrencyGuideline

(Rule)

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C23 IBAN

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C24 IdentificationGuideline

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C25 IdentificationGuideline

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C26 Investor1Rule

(Rule)

If PrimaryIndividualInvestor is not present, then SecondaryIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then SecondaryIndividualInvestor may be present.

(CrossElementComplexRule)

On Condition

`/PrimaryIndividualInvestor is absent`

Following Must be True

`/SecondaryIndividualInvestor Must be absent`

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00454

– *Error Text:* SecondaryIndividualInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C27 Investor2Rule

(Rule)

If PrimaryIndividualInvestor is not present, then OtherIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then OtherIndividualInvestor may be present. (CrossElementComplexRule)

On Condition

`/PrimaryIndividualInvestor is absent`

Following Must be True

`/OtherIndividualInvestor[*] Must be absent`

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00453

– *Error Text:* OtherIndividualInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C28 NomineeAccountServicerRule

(Rule)

NomineeAccount/Servicer must be present when and only when different from TransferorAccount/Servicer.

This constraint is defined at the MessageDefinition level.

C29 NonStandardSLAReferenceRule

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C30 PartialInstructedQuantityRule

(Rule)

If the value of PartialInstructedQuantity is 'true' or '1' (Yes), then Quantity must be present.

If the value of PartialInstructedQuantity is 'false' or '0'(No), then Quantity maybe present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00466
- *Error Text:* Quantity must be present.

C31 Party2PresenceRule

(Rule)

If Party2 is present, then Party1 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00128
- *Error Text:* Party1 must be present.

C32 Party3PresenceRule

(Rule)

If Party3 is present, then Party2 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00129
- *Error Text:* Party2 must be present.

C33 Party4PresenceRule

(Rule)

If Party4 is present, then Party3 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00130
- *Error Text:* Party3 must be present.

C34 Party5PresenceRule

(Rule)

If Party5 is present, then Party4 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00131
- *Error Text:* Party4 must be present.

C35 SECUGuideline

(Rule)

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C36 SettlementChainGuideline

(Rule)

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on www.smpg.info.

C37 SocialSecurityNumberGuideline

(Rule)

The UK Insurance Number must be indicated without spaces.

C38 SpecificPreviousYearsGuideline

(Rule)

SpecificPreviousYears must not contain the current year.

C39 TotalAmountYearToDateRule

(Rule)

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

C40 TransactionOverheadElementRule

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

39.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

39.4.1 MessageReference <MsgRef>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageReference <MsgRef> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

39.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference11](#) on page 2001 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2001
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2002

39.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

39.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

39.4.5 PrimaryIndividualInvestor <PmryIndvInvstr>

Presence: [0..1]

Definition: Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

Impacted by: [C37 SocialSecurityNumberGuideline](#)

PrimaryIndividualInvestor <PmryIndvInvstr> contains the following elements (see [IndividualPerson8](#) on page 2811 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2811
	GivenName <GvnNm>	[1..1]	Text		2811
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2811
	NameSuffix <NmSfx>	[0..1]	Text		2812
	Gender <Gndr>	[0..1]	CodeSet		2812
	BirthDate <BirthDt>	[0..1]	Date		2812
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2812
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2812

Constraints

- **SocialSecurityNumberGuideline**

(Rule)

The UK Insurance Number must be indicated without spaces.

39.4.6 SecondaryIndividualInvestor <ScndryIndvInvstr>

Presence: [0..1]

Definition: Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

Impacted by: [C37 SocialSecurityNumberGuideline](#)

SecondaryIndividualInvestor <ScndryIndvInvstr> contains the following elements (see [IndividualPerson8](#) on page 2811 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2811
	GivenName <GvnNm>	[1..1]	Text		2811
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2811
	NameSuffix <NmSfx>	[0..1]	Text		2812
	Gender <Gndr>	[0..1]	CodeSet		2812
	BirthDate <BirthDt>	[0..1]	Date		2812
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2812
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2812

Constraints

- **SocialSecurityNumberGuideline**

(Rule)

The UK Insurance Number must be indicated without spaces.

39.4.7 OtherIndividualInvestor <OthrIndvInvstr>

Presence: [0..*]

Definition: Information identifying the other individual investors, for example, name, address, social security number and date of birth.

Impacted by: [C37 SocialSecurityNumberGuideline](#)

OtherIndividualInvestor <OthrIndvInvstr> contains the following elements (see [IndividualPerson8](#) on page 2811 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2811
	GivenName <GvnNm>	[1..1]	Text		2811
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2811
	NameSuffix <NmSfx>	[0..1]	Text		2812
	Gender <Gndr>	[0..1]	CodeSet		2812
	BirthDate <BirthDt>	[0..1]	Date		2812
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2812
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2812

Constraints

- **SocialSecurityNumberGuideline**

(Rule)

The UK Insurance Number must be indicated without spaces.

39.4.8 PrimaryCorporateInvestor <PmryCorpInvstr>

Presence: [0..1]

Definition: Information identifying the primary corporate investor, for example, name and address.

PrimaryCorporateInvestor <PmryCorplnvstr> contains the following elements (see [Organisation36](#) on page 2490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2490
	Identification <Id>	[0..1]	±		2490
	Purpose <Purp>	[0..1]	Text		2490
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	2490
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2491
	RegistrationDate <RegnDt>	[0..1]	Date		2491
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		2491
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		2491
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		2492

39.4.9 SecondaryCorporateInvestor <ScndryCorplnvstr>

Presence: [0..1]

Definition: Information identifying the secondary corporate investor, for example, name and address.

SecondaryCorporateInvestor <ScndryCorplnvstr> contains the following elements (see [Organisation36](#) on page 2490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2490
	Identification <Id>	[0..1]	±		2490
	Purpose <Purp>	[0..1]	Text		2490
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	2490
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2491
	RegistrationDate <RegnDt>	[0..1]	Date		2491
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		2491
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		2491
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		2492

39.4.10 OtherCorporateInvestor <OthrCorplnvstr>

Presence: [0..*]

Definition: Information identifying the other corporate investors, for example, name and address.

OtherCorporateInvestor <OthrCorpInvstr> contains the following elements (see [Organisation36](#) on page 2490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2490
	Identification <Id>	[0..1]	±		2490
	Purpose <Purp>	[0..1]	Text		2490
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	2490
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2491
	RegistrationDate <RegnDt>	[0..1]	Date		2491
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		2491
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		2491
	CorporateInvestorAddress <CorpInvstrAdr>	[1..1]	±		2492

39.4.11 TransferorAccount <TrfrAcct>

Presence: [1..1]

Definition: Identification of the account owned by the investor at the old plan manager (account servicer).

TransferorAccount <TrfrAcct> contains the following elements (see [InvestmentAccount69](#) on page 1594 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1594
	Designation <Dsgnt>	[0..1]	Text		1594
	AccountName <AcctNm>	[0..1]	Text		1595
	Servicer <Svcr>	[0..1]	±		1595

39.4.12 NomineeAccount <NmneeAcct>

Presence: [0..1]

Definition: Account held in the name of a party that is not the name of the beneficial owner of the shares.

NomineeAccount <NmneeAcct> contains the following elements (see [InvestmentAccount69](#) on page 1594 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1594
	Designation <Dsgnt>	[0..1]	Text		1594
	AccountName <AcctNm>	[0..1]	Text		1595
	Servicer <Svcr>	[0..1]	±		1595

39.4.13 Transferee <Trfee>

Presence: [1..1]

Definition: Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

Transferee <Trfee> contains the following elements (see [PartyIdentification132](#) on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

39.4.14 ProductTransfer <PdctTrf>

Presence: [1..*]

Definition: Information about the portfolio and assets.

ProductTransfer <PdctTrf> contains the following **PortfolioTransfer11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		647
	TransferIdentification <TrfId>	[1..1]	Text		648
	TransferConfirmationIdentification <TrfConfId>	[0..1]	Text		648
	RequestedTransferDate <ReqdTrfDt>	[0..1]	Date		648
	Portfolio <Prfl>	[0..1]			648
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]	±		649
Or	GeneralInvestment <Gnllnvstmt>	[1..1]	±		650
Or}	Pension <Pnsn>	[1..1]			650
	Identification <Id>	[0..1]			651
	Identifier <Idr>	[1..1]	Text		651
	SubIdentifier <Subldr>	[0..1]	Text		651
	AdditionalInformation <AddtlInf>	[0..1]	±		651
	Type <Tp>	[0..1]			652
{Or	Code <Cd>	[1..1]	CodeSet		652
Or}	Proprietary <Prtry>	[1..1]	±		653
	TransferScope <TrfScp>	[0..1]	±		653
	TaxReference <TaxRef>	[0..*]	±		654
	DrawdownTrancheIdentification <DrwdwnTrchId>	[0..1]	Text		654
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		654
	AdditionalInformation <AddtlInf>	[0..*]	±		654
	AllOtherCash <AllOthrCsh>	[0..*]	±		655
	CashAll <CshAll>	[0..*]	±		655
	ResidualCash <RsdlCsh>	[0..*]	±		655
	PaymentDetails <PmtDtls>	[0..1]	±		655
	FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>	[0..*]		C7, C8, C9, C12, C13, C30	657
	LineIdentification <LineId>	[0..1]	Text		660
	Instrument <Instrm>	[1..1]			660
{Or	Security <Scty>	[1..1]	±	C24	661
Or	CashAsset <CshAsst>	[1..1]	±	C22	661

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	OtherAsset <OthrAsst>	[1..1]	±		662
	Quantity <Qty>	[0..1]	±		662
	PartialInstructedQuantity <PrtlInstdQty>	[0..1]	Indicator		663
	TransferType <TrfTp>	[1..1]	±	C35	663
	AdditionalAsset <AddtlAsst>	[0..1]	Indicator		663
	NotAvailable <NotAvlbl>	[0..1]	Indicator		664
	Conversion <Convs>	[0..1]	±		664
	UnitsDetails <UnitsDtls>	[0..*]	±		664
	ClientReference <ClntRef>	[0..1]	±		665
	CounterpartyReference <CtrPtyRef>	[0..1]	±		666
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		666
	AverageAcquisitionPrice <AvrgAcqstnPric>	[0..1]	Amount	C2, C17	666
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	667
	TotalBookValue <TtlBookVal>	[0..1]	±		667
	TransfereeAccount <TrfeeAcct>	[0..1]	±		668
	Transferor <Trfr>	[0..1]	±		668
	IntermediaryInformation <IntrmyInf>	[0..*]	±		668
	RequestedTransferDate <ReqdTrfDt>	[0..1]	Date		669
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		669
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		669
	PaymentDetails <PmtDtls>	[0..1]	±		669
	CrystallisationDetails <CrstllstnDtls>	[0..*]	±		671
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		672
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		672
	AssetsHeldInOwnName <AsstsHeldInOwnNm>	[0..1]	Indicator		673
	TransferResultsInChangeOfBeneficialOwner <TrfRsltsInChngOfBnfclOwnr>	[0..1]	Indicator		673
	AdditionalInformation <AddtlInf>	[0..*]	±		673
	AdditionalInformation <AddtlInf>	[0..*]	±		674

39.4.14.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: Max35Text on page 3409

39.4.14.2 TransferIdentification <Trfld>

Presence: [1..1]

Definition: Identification assigned to the transfer of assets.

Datatype: Max35Text on page 3409

39.4.14.3 TransferConfirmationIdentification <TrfConfld>

Presence: [0..1]

Definition: Identification of the confirmation assigned by the transferor to the transfer.

Datatype: Max35Text on page 3409

39.4.14.4 RequestedTransferDate <ReqdTrfDt>

Presence: [0..1]

Definition: Date for which the instructing party requests the transfer of the portfolio as a whole.

Datatype: ISODate on page 3391

39.4.14.5 Portfolio <Prftl>

Presence: [0..1]

Definition: Choice of tax efficient product, general investment or pension.

Portfolio <Prftl> contains one of the following **FundPortfolio8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]	±		649
Or	GeneralInvestment <GnlInvstmt>	[1..1]	±		650
Or}	Pension <Pnsn>	[1..1]			650
	Identification <Id>	[0..1]			651
	Identifier <Idr>	[1..1]	Text		651
	SubIdentifier <Subldr>	[0..1]	Text		651
	AdditionalInformation <AddtlInf>	[0..1]	±		651
	Type <Tp>	[0..1]			652
{Or	Code <Cd>	[1..1]	CodeSet		652
Or}	Proprietary <Prtry>	[1..1]	±		653
	TransferScope <TrfScp>	[0..1]	±		653
	TaxReference <TaxRef>	[0..*]	±		654
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		654
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		654
	AdditionalInformation <AddtlInf>	[0..*]	±		654

39.4.14.5.1 TaxEfficientProduct <TaxEffcntPdct>

Presence: [1..1]

Definition: Portfolio is a government scheme to encourage investment in securities based unit and investment trusts, offering certain tax benefits. These are not investments in their own right but are tax exempt 'wrappers' in which equities, bonds and funds can be held to shelter them from various types of tax.

In the UK, a typical tax wrapper product is known as an 'ISA' (Individual Savings Account).

TaxEfficientProduct <TaxEffcntPdct> contains the following elements (see [TaxEfficientProduct6](#) on page 1868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		1868
	CurrentYear <CurYr>	[0..1]	Indicator		1869
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1869
	PreviousYears <PrvsYrs>	[0..1]		C36	1869
	PreviousYears <PrvsYrs>	[1..1]			1869
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1870
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		1870
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1870
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C39	1870
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		1871
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C2	1871
	CashComponent <CshCmpnt>	[0..1]	Amount	C2	1871
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C2	1872
	AdditionalInformation <AddtlInf>	[0..*]	±		1872

39.4.14.5.2 GeneralInvestment <GnlInvstmt>

Presence: [1..1]

Definition: Portfolio is a general investment.

GeneralInvestment <GnlInvstmt> contains the following elements (see [GeneralInvestment2](#) on page 1865 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1865
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1865
	CurrentInvestmentAmount <CurlInvstmtAmt>	[0..1]	Amount	C2	1867
	EstimatedValue <EstmtdVal>	[0..1]	±		1867
	AdditionalInformation <AddtlInf>	[0..*]	±		1867

39.4.14.5.3 Pension <Pnsn>

Presence: [1..1]

Definition: Portfolio is a pension policy, plan or scheme.

Pension <Pnsn> contains the following **Pension6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			651
	Identifier <Idr>	[1..1]	Text		651
	SubIdentifier <Subldr>	[0..1]	Text		651
	AdditionalInformation <AddtlInf>	[0..1]	±		651
	Type <Tp>	[0..1]			652
{Or	Code <Cd>	[1..1]	CodeSet		652
Or}	Proprietary <Prtry>	[1..1]	±		653
	TransferScope <TrfScp>	[0..1]	±		653
	TaxReference <TaxRef>	[0..*]	±		654
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		654
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		654
	AdditionalInformation <AddtlInf>	[0..*]	±		654

39.4.14.5.3.1 Identification <Id>

Presence: [0..1]

Definition: Identification of the pension policy, plan or scheme.

Identification <Id> contains the following **PensionPolicy1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identifier <Idr>	[1..1]	Text		651
	SubIdentifier <Subldr>	[0..1]	Text		651
	AdditionalInformation <AddtlInf>	[0..1]	±		651

39.4.14.5.3.1.1 Identifier <Idr>

Presence: [1..1]

Definition: Reference number of the pension policy, plan or scheme.

Datatype: Max35Text on page 3409

39.4.14.5.3.1.2 SubIdentifier <Subldr>

Presence: [0..1]

Definition: Sub-identification of the pension policy, plan or scheme, such as a member reference.

Datatype: Max35Text on page 3409

39.4.14.5.3.1.3 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the identification of the pension policy, plan or scheme.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

39.4.14.5.3.2 Type <Tp>

Presence: [0..1]

Definition: Type of pension policy, plan or scheme.

Type <Tp> contains one of the following **PensionSchemeType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		652
Or}	Proprietary <Prtry>	[1..1]	±		653

39.4.14.5.3.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of pension policy, plan or scheme expressed as a code.

Datatype: [PensionSchemeType3Code](#) on page 3325

CodeName	Name	Definition
AAVC	AdditionalVoluntaryContribution	Pension plan is an additional voluntary contribution plan.
DBEN	DefinedBenefit	Pension plan is a defined benefit plan.
EXPP	ExecutivePensionPlan	Pension plan is an executive pension plan.
FAVC	FreeStandingAdditionalVoluntaryContribution	Pension plan is a free standing additional voluntary contribution plan.
GPPS	GroupPersonalPension	Pension is a group personal pension.
SIPG	GroupSelfInvestedPension	Pension plan is a group self-invested pension plan.
STKG	GroupStakeholder	Pension plan is a group stakeholder pension plan.
IPST	IndividualPensionWithTaxBenefit	Pension is an individual pension savings plan with a tax benefit. This is known as an Individual Pension Schema (IPS) in some markets.
STKI	IndividualStakeholder	Pension plan is an individual stakeholder pension.
OTPM	MandatoryOccupationalPension	Pension is a mandatory occupational pension. This is known as an Obligatory

CodeName	Name	Definition
		Occupation Pension (OTP) in some markets.
OCDC	OccupationalDefinedContribution	Pension plan is an occupational defined contribution plan.
PPNS	PersonalPension	Pension is a personal pension plan.
EPKA	PersonalPensionAccount	Pension is a personal pension account. This is known as Employee Pension Kapital (EPK) in some markets.
ITPO	PrivateOccupationalPension	Pension is a private occupational pension. This is known as an industrial and trade supplementary pension (ITP) in some markets.
REAN	RetirementAnnuity	Pension plan is a retirement annuity.
SC32	Section32	Pension type covered by section 32.
S32A	Section32A	Pension type covered by section 32A.
SIPP	SelfInvestedPersonalPension	Pension is a self-invested personal pension plan.
SSAS	SmallSelfAdministeredScheme	Pension is a small self-administered pension scheme.
NWRP	NonWrapperPension	Indicates that the party does not operate the pension wrapper.

39.4.14.5.3.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of pension policy, plan or scheme expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

39.4.14.5.3.3 TransferScope <TrfScp>

Presence: [0..1]

Definition: Scope of the pension policy, plan or scheme transfer.

TransferScope <TrfScp> contains one of the following elements (see [PensionTransferScope1Choice](#) on page 2228 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2228
Or}	Proprietary <Prtry>	[1..1]	±		2228

39.4.14.5.3.4 TaxReference <TaxRef>

Presence: [0..*]

Definition: Tax reference issued to the pension policy, plan or scheme by a central organisation.

TaxReference <TaxRef> contains the following elements (see [TaxReference1](#) on page 3070 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[0..1]			3071
{Or	Code <Cd>	[1..1]	CodeSet		3071
Or}	Proprietary <Prtry>	[1..1]	±		3071
	Reference <Ref>	[1..1]	Text		3072
	HolderType <HldrTp>	[0..1]			3072
{Or	Code <Cd>	[1..1]	CodeSet		3072
Or}	Proprietary <Prtry>	[1..1]	±		3072

39.4.14.5.3.5 DrawdownTrancheIdentification <DrwdwnTrchld>

Presence: [0..1]

Definition: Reference of the drawdown.

Datatype: [Max35Text](#) on page 3409

39.4.14.5.3.6 NonWrapperTransfer <NonWrpprTrf>

Presence: [0..1]

Definition: Indicates that the transfer is only in relation to underlying assets, and that the wrapper transfer will occur separately.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

39.4.14.5.3.7 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the pension policy, plan or scheme.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

39.4.14.6 AllOtherCash <AllOthrCsh>

Presence: [0..*]

Definition: Specifies whether all remaining assets in the portfolio not listed for transfer should be liquidated and transferred as cash.

AllOtherCash <AllOthrCsh> contains the following elements (see [AllOtherCash1](#) on page 2373 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		2373
	Currency <Ccy>	[0..1]	CodeSet	C2	2373

39.4.14.7 CashAll <CshAll>

Presence: [0..*]

Definition: Specifies whether all assets in the portfolio are to be liquidated and transferred as cash.

CashAll <CshAll> contains the following elements (see [CashAll1](#) on page 2372 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		2372
	Currency <Ccy>	[0..1]	CodeSet	C2	2372

39.4.14.8 ResidualCash <RsdICsh>

Presence: [0..*]

Definition: Specifies how the cash in the account that is awaiting investment is to be dealt with.

ResidualCash <RsdICsh> contains the following elements (see [ResidualCash2](#) on page 2370 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		2371
	Currency <Ccy>	[0..1]	CodeSet	C2	2371

39.4.14.9 PaymentDetails <PmtDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

PaymentDetails <PmtDtls> contains the following elements (see [PaymentInstrument14](#) on page 2703 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2705
	CreditTransferDetails <CdtTrfDtls>	[0..1]			2705
	Debtor <Dbtr>	[0..1]	±		2708
	DebtorAccount <DbtrAcct>	[0..1]			2709
	Name <Nm>	[0..1]	Text		2709
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2709
	Other <Othr>	[0..1]	±		2710
	DebtorAgent <DbtrAgt>	[0..1]			2710
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2710
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2711
	NameAndAddress <NmAndAdr>	[0..1]	±		2712
	LEI <LEI>	[0..1]	IdentifierSet		2712
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2713
	BranchIdentification <Brnchld>	[0..1]	±		2713
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2713
	Name <Nm>	[0..1]	Text		2713
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2713
	Other <Othr>	[0..1]	±		2714
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2714
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2715
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2715
	NameAndAddress <NmAndAdr>	[0..1]	±		2716
	LEI <LEI>	[0..1]	IdentifierSet		2716
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2717
	BranchIdentification <Brnchld>	[0..1]	±		2717
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2717
	Name <Nm>	[0..1]	Text		2717
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2717
	Other <Othr>	[0..1]	±		2718
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2718

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2719
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2719
	NameAndAddress <NmAndAdr>	[0..1]	±		2720
	LEI <LEI>	[0..1]	IdentifierSet		2720
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2721
	BranchIdentification <BrnchId>	[0..1]	±		2721
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2721
	Name <Nm>	[0..1]	Text		2721
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2721
	Other <Othr>	[0..1]	±		2722
	CreditorAgent <CdtrAgt>	[1..1]			2722
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2723
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2723
	NameAndAddress <NmAndAdr>	[0..1]	±		2724
	LEI <LEI>	[0..1]	IdentifierSet		2724
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2725
	BranchIdentification <BrnchId>	[0..1]	±		2725
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2725
	Name <Nm>	[0..1]	Text		2725
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2725
	Other <Othr>	[0..1]	±		2726
	Creditor <Cdtr>	[0..1]	±		2726
	CreditorAccount <CdtrAcct>	[1..1]			2727
	Name <Nm>	[0..1]	Text		2727
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2727
	Other <Othr>	[0..1]	±		2728

39.4.14.10 FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>

Presence: [0..*]

Definition: Asset to be transferred.

Impacted by: [C7 AssetLiquidatedCurrencyGuideline](#), [C8 AssetQuantity1Guideline](#), [C9 AssetQuantity2Guideline](#), [C12 Conversion1Rule](#), [C13 Conversion2Rule](#), [C30](#)

[PartialInstructedQuantityRule](#)

FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf> contains the following **FinancialInstrument102** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LineIdentification <LineId>	[0..1]	Text		660
	Instrument <Instrm>	[1..1]			660
{Or	Security <Scty>	[1..1]	±	C24	661
Or	CashAsset <CshAsst>	[1..1]	±	C22	661
Or}	OtherAsset <OthrAsst>	[1..1]	±		662
	Quantity <Qty>	[0..1]	±		662
	PartialInstructedQuantity <PrtlInstdQty>	[0..1]	Indicator		663
	TransferType <TrfTp>	[1..1]	±	C35	663
	AdditionalAsset <AddtlAsst>	[0..1]	Indicator		663
	NotAvailable <NotAvlbl>	[0..1]	Indicator		664
	Conversion <Convs>	[0..1]	±		664
	UnitsDetails <UnitsDtls>	[0..*]	±		664
	ClientReference <ClntRef>	[0..1]	±		665
	CounterpartyReference <CtrPtyRef>	[0..1]	±		666
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		666
	AverageAcquisitionPrice <AvgAcqstnPric>	[0..1]	Amount	C2, C17	666
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	667
	TotalBookValue <TtlBookVal>	[0..1]	±		667
	TransfereeAccount <TrfeeAcct>	[0..1]	±		668
	Transferor <Trfr>	[0..1]	±		668
	IntermediaryInformation <IntrmyInf>	[0..*]	±		668
	RequestedTransferDate <ReqdTrfDt>	[0..1]	Date		669
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		669
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		669
	PaymentDetails <PmtDtls>	[0..1]	±		669
	CrystallisationDetails <CrstllstnDtls>	[0..*]	±		671
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		672
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		672
	AssetsHeldInOwnName <AsstsHeldInOwnNm>	[0..1]	Indicator		673

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferResultsInChangeOfBeneficialOwner <TrfRsltInChngOfBnfcIOwnr>	[0..1]	Indicator		673
	AdditionalInformation <AddtlInf>	[0..*]	±		673

Constraints

- **AssetLiquidatedCurrencyGuideline**

(Rule)

When a security is to be liquidated and transferred as cash (TransferType is CASH), then the currency of the resulting cash is specified in TransferCurrency.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

- **AssetQuantity1Guideline**

(Rule)

If Instrument/Security is present and Quantity is present, then Quantity/Unit or Quantity/PercentageRate or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

- **AssetQuantity2Guideline**

(Rule)

If Instrument/CashAsset is present and Quantity is present, then Quantity/CashAmount or Quantity/Percentage must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

- **Conversion1Rule**

(Rule)

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present.

On Condition

/TransferType/Code is equal to value 'Conversion'

Following Must be True

/Conversion Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00464
- *Error Text:* Conversion must be present.

• **Conversion2Rule**

(Rule)

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed.

On Condition

/TransferType/Code is different from value 'Conversion'

Following Must be True

/Conversion Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00465
- *Error Text:* Conversion is not allowed.

• **PartialInstructedQuantityRule**

(Rule)

If the value of PartialInstructedQuantity is 'true' or '1' (Yes), then Quantity must be present.

If the value of PartialInstructedQuantity is 'false' or '0'(No), then Quantity maybe present.

On Condition

/PartialInstructedQuantity is equal to value 'true'

Or /PartialInstructedQuantity is equal to value '1'

Following Must be True

/Quantity Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00466
- *Error Text:* Quantity must be present.

39.4.14.10.1 Lineldentification <Lineld>

Presence: [0..1]

Definition: Identification of the line of holding in the portfolio.

Datatype: Max35Text on page 3409

39.4.14.10.2 Instrument <Instrm>

Presence: [1..1]

Definition: Identification of the asset.

Instrument <Instrm> contains one of the following **FinancialInstrument63Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Security <Scty>	[1..1]	±	C24	661
Or	CashAsset <CshAsst>	[1..1]	±	C22	661
Or}	OtherAsset <OthrAsst>	[1..1]	±		662

39.4.14.10.2.1 Security <Scty>

Presence: [1..1]

Definition: Identification of the security.

Impacted by: [C24 IdentificationGuideline](#)

Security <Scty> contains the following elements (see [FinancialInstrumentIdentification2](#) on page 1925 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1926
	Name <Nm>	[0..1]	Text		1927
	ShortName <ShrtNm>	[0..1]	Text		1927
	ClassificationType <ClssfctnTp>	[0..1]	±		1927

Constraints

- **IdentificationGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

39.4.14.10.2.2 CashAsset <CshAsst>

Presence: [1..1]

Definition: Identification of the cash asset.

Impacted by: [C22 HoldingTransferCurrencyGuideline](#)

CashAsset <CshAsst> contains the following elements (see [CashAsset3](#) on page 1923 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1924
{Or	Code <Cd>	[1..1]	CodeSet		1924
Or}	Proprietary <Prtry>	[1..1]	±		1924
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C2	1924
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	1925
	AdditionalInformation <AddtlInf>	[0..1]	±		1925

Constraints

• **HoldingTransferCurrencyGuideline**

(Rule)

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

39.4.14.10.2.3 OtherAsset <OthrAsst>

Presence: [1..1]

Definition: Identification of another kind of asset in the holding that is not a security or cash.

OtherAsset <OthrAsst> contains the following elements (see [OtherAsset2](#) on page 1921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1921
{Or	Code <Cd>	[1..1]	CodeSet		1922
Or}	Proprietary <Prtry>	[1..1]	±		1922
	Identification <Id>	[1..1]	Text		1922
	Name <Nm>	[0..1]	Text		1922
	Description <Desc>	[0..1]	Text		1923
	OtherIdentification <Othrid>	[0..5]	Text		1923
	AdditionalInformation <AddtlInf>	[0..*]	±		1923

39.4.14.10.3 Quantity <Qty>

Presence: [0..1]

Definition: Quantity of asset to be transferred.

Quantity <Qty> contains the following elements (see [Quantity47](#) on page 2895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[0..1]	Quantity		2895
	PercentageRate <PctgRate>	[0..1]	Rate		2895
	FaceAmount <FaceAmt>	[0..1]	Amount		2895
	AmortisedValue <AmtsdVal>	[0..1]	Amount		2895
	CashAmount <CshAmt>	[0..1]	Amount	C2	2896
	OtherAsset <OthrAsst>	[0..1]	Text		2896

39.4.14.10.4 PartialInstructedQuantity <PrtlInstQty>

Presence: [0..1]

Definition: Indicates that the quantity of asset to be transferred is a partially instructed quantity.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

39.4.14.10.5 TransferType <TrfTp>

Presence: [1..1]

Definition: Specifies how the financial instrument is transferred.

Impacted by: [C35 SECUGuideline](#)

TransferType <TrfTp> contains one of the following elements (see [TransferType2Choice](#) on page 3175 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3176
Or}	Proprietary <Prtry>	[1..1]	±		3176

Constraints

- **SECUGuideline**

(Rule)

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

39.4.14.10.6 AdditionalAsset <AddtlAsst>

Presence: [0..1]

Definition: Indicates the asset is a new asset, not previously identified by the transferor party (ceding party) in the account holding discovery process.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

39.4.14.10.7 NotAvailable <NotAvlbl>

Presence: [0..1]

Definition: Indicates the asset is no longer available at the transferor party (ceding party).

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

39.4.14.10.8 Conversion <Convs>

Presence: [0..1]

Definition: Security is to be converted into another security before transfer.

Conversion <Convs> contains the following elements (see [Conversion1](#) on page 2226 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetSecurity <TrgtScty>	[1..1]		C16	2226
	Identification <Id>	[1..1]	±		2227
	Name <Nm>	[0..1]	Text		2227
	ShortName <ShrtNm>	[0..1]	Text		2227
	AdditionalInformation <AddtlInf>	[0..*]	±		2228

39.4.14.10.9 UnitsDetails <UnitsDtls>

Presence: [0..*]

Definition: Breakdown of units.

UnitsDetails <UnitsDtls> contains the following elements (see [Unit11](#) on page 1944 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1945
	OrderDate <OrdrDt>	[0..1]	Date		1945
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1945
	CertificateNumber <CertNb>	[0..*]	Text		1946
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1946
	Reference <Ref>	[0..1]	Text		1946
	PriceDetails <PricDtls>	[0..1]	±		1946
	TransactionOverhead <TxOvrhd>	[0..1]		C17, C21	1947
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1948
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1949
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1949
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1950
	IndividualFee <IndvFee>	[0..*]	±	C6	1950
	IndividualTax <IndvTax>	[0..*]	±		1952
	OtherAmount <OthrAmt>	[0..*]			1952
	Type <Tp>	[1..1]			1952
{Or	Code <Cd>	[1..1]	CodeSet		1953
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1953
	Amount <Amt>	[1..1]	Amount	C2, C10	1953

39.4.14.10.10 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <CIntRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

39.4.14.10.11 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

Definition: Unambiguous identification of the transfer allocated by the counterparty.

CounterpartyReference <CtrPtyRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

39.4.14.10.12 BusinessFlowType <BizFlowTp>

Presence: [0..1]

Definition: Business process in which the actors are involved. This will facilitate the right business process to be triggered, according to the market business model, which may require matching instructions (double leg process) or not (single leg process).

Datatype: [BusinessFlowType1Code](#) on page 3250

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

39.4.14.10.13 AverageAcquisitionPrice <AvrgAcqstnPric>

Presence: [0..1]

Definition: Average cost per share of the security, including all fees.

Impacted by: [C2 ActiveOrHistoricCurrency](#) __, [C17 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006

– *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

– *Error Text:* Invalid currency code or too many decimal digits.

39.4.14.10.14 TransferCurrency <TrfCcy>

Presence: [0..1]

Definition: Currency to be used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

Impacted by: C2 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00006

– *Error Text:* Invalid currency code.

39.4.14.10.15 TotalBookValue <TtIBookVal>

Presence: [0..1]

Definition: Net asset on the balance sheet, the total portfolio value minus or plus the unrealised gain or loss.

TotalBookValue <TtIBookVal> contains the following elements (see DateAndAmount2 on page 1612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

39.4.14.10.16 TransfereeAccount <TrfeeAcct>

Presence: [0..1]

Definition: Account held in the name of the party that is not the name of the beneficial owner of the shares.

(Party and account into which the transferee receives the financial instrument from the transferor.)

TransfereeAccount <TrfeeAcct> contains the following elements (see [Account28](#) on page 2065 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		2065
	AccountIdentification <Acctld>	[0..1]	Text		2066
	Designation <Dsgnt>	[0..1]	Text		2066
	AccountName <AcctNm>	[0..1]	Text		2066
	Servicer <Svcr>	[0..1]	±		2066
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2067

39.4.14.10.17 Transferor <Trfr>

Presence: [0..1]

Definition: Party and account from which the transferor delivers the financial instrument to the transferee.

Transferor <Trfr> contains the following elements (see [Account28](#) on page 2065 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		2065
	AccountIdentification <Acctld>	[0..1]	Text		2066
	Designation <Dsgnt>	[0..1]	Text		2066
	AccountName <AcctNm>	[0..1]	Text		2066
	Servicer <Svcr>	[0..1]	±		2066
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2067

39.4.14.10.18 IntermediaryInformation <IntrmyInf>

Presence: [0..*]

Definition: Identification of a related party or intermediary.

IntermediaryInformation <IntrmyInf> contains the following elements (see [Intermediary43](#) on page 2610 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2610
	Account <Acct>	[0..1]			2611
	Identification <Id>	[0..1]	Text		2611
	AccountServicer <AcctSvcr>	[1..1]	±		2611
	Role <Role>	[0..1]	±		2611
	ContactPerson <CtctPrsn>	[0..1]	±		2612

39.4.14.10.19 RequestedTransferDate <ReqdTrfDt>

Presence: [0..1]

Definition: Date for which the instructing party requests the transfer.

Datatype: [ISODate](#) on page 3391

39.4.14.10.20 RequestedTradeDate <ReqdTradDt>

Presence: [0..1]

Definition: Date to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: [ISODate](#) on page 3391

39.4.14.10.21 RequestedSettlementDate <ReqdSttlmDt>

Presence: [0..1]

Definition: Date at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: [ISODate](#) on page 3391

39.4.14.10.22 PaymentDetails <PmtDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

PaymentDetails <PmtDtls> contains the following elements (see [PaymentInstrument14](#) on page 2703 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2705
	CreditTransferDetails <CdtTrfDtls>	[0..1]			2705
	Debtor <Dbtr>	[0..1]	±		2708
	DebtorAccount <DbtrAcct>	[0..1]			2709
	Name <Nm>	[0..1]	Text		2709
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2709
	Other <Othr>	[0..1]	±		2710
	DebtorAgent <DbtrAgt>	[0..1]			2710
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2710
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2711
	NameAndAddress <NmAndAdr>	[0..1]	±		2712
	LEI <LEI>	[0..1]	IdentifierSet		2712
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2713
	BranchIdentification <Brnchld>	[0..1]	±		2713
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2713
	Name <Nm>	[0..1]	Text		2713
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2713
	Other <Othr>	[0..1]	±		2714
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2714
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2715
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2715
	NameAndAddress <NmAndAdr>	[0..1]	±		2716
	LEI <LEI>	[0..1]	IdentifierSet		2716
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2717
	BranchIdentification <Brnchld>	[0..1]	±		2717
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2717
	Name <Nm>	[0..1]	Text		2717
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2717
	Other <Othr>	[0..1]	±		2718
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2718

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2719
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2719
	NameAndAddress <NmAndAdr>	[0..1]	±		2720
	LEI <LEI>	[0..1]	IdentifierSet		2720
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2721
	BranchIdentification <BrnchId>	[0..1]	±		2721
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2721
	Name <Nm>	[0..1]	Text		2721
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2721
	Other <Othr>	[0..1]	±		2722
	CreditorAgent <CdtrAgt>	[1..1]			2722
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2723
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2723
	NameAndAddress <NmAndAdr>	[0..1]	±		2724
	LEI <LEI>	[0..1]	IdentifierSet		2724
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2725
	BranchIdentification <BrnchId>	[0..1]	±		2725
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2725
	Name <Nm>	[0..1]	Text		2725
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2725
	Other <Othr>	[0..1]	±		2726
	Creditor <Cdtr>	[0..1]	±		2726
	CreditorAccount <CdtrAcct>	[1..1]			2727
	Name <Nm>	[0..1]	Text		2727
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2727
	Other <Othr>	[0..1]	±		2728

39.4.14.10.23 CrystallisationDetails <CrstllstnDtls>

Presence: [0..*]

Definition: Number of units that have been received (crystallised) or not yet received (uncrystallised) from the fund. This is typically relevant to a pension fund.

CrystallisationDetails <CrstllstnDtls> contains the following elements (see [Crystallisation2](#) on page 2224 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TrancheIdentification <TrchId>	[1..1]	Text		2224
	CrystallisedUnitsNumber <CrstllsdUnitsNb>	[0..1]	Quantity		2225
	UncrystallisedUnitsNumber <UcrstllsdUnitsNb>	[0..1]	Quantity		2225
	CrystallisedAmount <CrstllsdAmt>	[0..1]	Amount	C2	2225
	UncrystallisedAmount <UcrstllsdAmt>	[0..1]	Amount	C2	2225
	AdditionalInformation <AddtlInf>	[0..*]	±		2226

39.4.14.10.24 TaxValuationPoint <TaxValtnPt>

Presence: [0..1]

Definition: Date or tax quarter used for the calculation of tax on the asset.

TaxValuationPoint <TaxValtnPt> contains the following elements (see [Tax36](#) on page 1823 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOrPeriod <DtOrPrd>	[1..1]			1823
{Or	Date <Dt>	[1..1]	Date		1824
Or}	Period <Prd>	[1..1]	Text		1824
	AdditionalInformation <AddtlInf>	[0..*]	±		1824

39.4.14.10.25 SettlementPartiesDetails <SttlmPtiesDtls>

Presence: [0..1]

Definition: Chain of parties involved in the settlement of a transaction.

SettlementPartiesDetails <SttlmPtiesDtls> contains the following elements (see FundSettlementParameters17 on page 3162 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		3162
	TradeTransactionCondition <TradTxCond>	[0..*]	±		3163
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		3163
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		3163
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3164
	DeliveringSideDetails <DlvrngSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3166

39.4.14.10.26 AssetsHeldInOwnName <AsstsHeldInOwnNm>

Presence: [0..1]

Definition: Indicates whether the assets are held in an individual's own name.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

39.4.14.10.27 TransferResultsInChangeOfBeneficialOwner <TrfRsItsInChngOfBnfclOwnr>

Presence: [0..1]

Definition: Indicates whether the transfer results in a change of beneficial owner.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

39.4.14.10.28 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the financial instrument.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

39.4.14.11 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the product transfer.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

39.4.15 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

39.4.16 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C21 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

40 MX sese.013.001.11 PortfolioTransferConfirmationV11

40.1 MessageDefinition Functionality

Scope

The PortfolioTransferConfirmation message is sent by an executing party, for example, a (old) plan manager (transferor), to the instructing party for example, a (new) plan manager (transferee), to confirm the transfer of financial instruments from the client's account at the old plan manager (transferor) to the clients account at the new plan manager (transferee).

Usage

The PortfolioTransferConfirmation message is used to confirm one or more portfolio transfers for one client.

The reference of each portfolio transfer confirmation is identified in TransferConfirmationIdentification. The reference of the original portfolio transfer as assigned by the instructing party is specified in TransferInstructionReference. The message identification of the PortfolioTransferInstruction message in which the portfolio transfers were conveyed may also be quoted in RelatedReference but this is not recommended.

Outline

The PortfolioTransferConfirmationV11 MessageDefinition is composed of 17 MessageBuildingBlocks:

A. MessageReference

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. PrimaryIndividualInvestor

Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

F. RegisteredHolder

Official registered holder information.

G. SecondaryIndividualInvestor

Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

H. OtherIndividualInvestor

Information identifying the other individual investors, for example, name, address, social security number and date of birth.

I. PrimaryCorporateInvestor

Information identifying the primary corporate investor, for example, name and address.

J. SecondaryCorporateInvestor

Information identifying the secondary corporate investor, for example, name and address.

K. OtherCorporateInvestor

Information identifying the other corporate investors, for example, name and address.

L. TransferorAccount

Identification of the account owned by the investor at the old plan manager (account servicer).

M. NomineeAccount

Account held in the name of a party that is not the name of the beneficial owner of the shares.

N. Transferee

Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

O. ProductTransfer

Information about the portfolio and assets.

P. MarketPracticeVersion

Identifies the market practice to which the message conforms.

Q. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

40.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PrtlTrfConf>	[1..1]		C15, C16, C28, C29, C30	
	MessageReference <MsgRef>	[1..1]	±		694
	PoolReference <PoolRef>	[0..1]	±		694
	PreviousReference <PrvsRef>	[0..1]	±		694
	RelatedReference <RltdRef>	[0..1]	±		695
	PrimaryIndividualInvestor <PmryIndvInvstr>	[0..1]	±	C42	695
	RegisteredHolder <RegdHldr>	[0..1]	±	C42	696
	SecondaryIndividualInvestor <ScndryIndvInvstr>	[0..1]	±	C42	696
	OtherIndividualInvestor <OthrIndvInvstr>	[0..*]	±	C42	697
	PrimaryCorporateInvestor <PmryCorplInvstr>	[0..1]	±		698
	SecondaryCorporateInvestor <ScndryCorplInvstr>	[0..1]	±		698
	OtherCorporateInvestor <OthrCorplInvstr>	[0..*]	±		699
	TransferorAccount <TrfrAcct>	[1..1]	±		699
	NomineeAccount <NmneeAcct>	[0..1]	±		700
	Transferee <Trfee>	[1..1]	±		700
	ProductTransfer <PdctTrf>	[1..*]			700
	MasterReference <MstrRef>	[0..1]	Text		706
	TransferInstructionReference <TrfInstrRef>	[1..1]	Text		706
	TransferConfirmationIdentification <TrfConfId>	[1..1]	Text		706
	ActualTransferDate <ActlTrfDt>	[0..1]	Date		707
	Portfolio <Prtl>	[0..1]			707
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]			711
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		713
	CurrentYear <CurYr>	[0..1]	Indicator		713
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		714
	PreviousYears <PrvsYrs>	[0..1]		C43	714
	PreviousYears <PrvsYrs>	[1..1]			714
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		715

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		715
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		715
	PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>	[0..1]	Amount	C1	715
	PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	715
	DateOfFirstSubscription <DtOfFrstSbcpt>	[0..1]	Date		716
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C46	716
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		716
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C1	717
	CashComponent <CshCmpnt>	[0..1]	Amount	C1	717
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C1	717
	BonusOrWithdrawal <BnsOrWdrwl>	[0..*]			718
	TypeOfAmount <TpOfAmt>	[1..1]			718
{Or	Code <Cd>	[1..1]	CodeSet		719
Or}	Proprietary <Prtry>	[1..1]	±		719
	Amount <Amt>	[0..1]	Amount	C2	719
	Reason <Rsn>	[0..1]			720
{Or	Code <Cd>	[1..1]	CodeSet		720
Or}	Proprietary <Prtry>	[1..1]	±		720
	UnclaimedAmount <UclmdAmt>	[0..1]	Amount	C2	720
	Outstanding <Outsdng>	[0..1]	Indicator		721
	Reference <Ref>	[0..1]	Text		721
	AdditionalInformation <AddtlInf>	[0..*]	±		721
	WithdrawalForResidentialPurchaseProgress <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		721
	TransferorAlternateIdentification <TrfrAltrnld>	[0..1]	Text		722
	TotalSubscriptionAmount <TtlSbcptAmt>	[0..1]	Amount	C1, C18	722
	OtherAmount <OthrAmt>	[0..*]			722
	Type <Tp>	[1..1]	±		723
	Amount <Amt>	[1..1]	Amount	C1, C18	723
	DateFirstQualifyingAddition <DtFrstQlfygAddtn>	[0..1]	Date		724
	InvestorTaxReference <InvstrTaxRef>	[0..1]			724

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			724
{Or	Code <Cd>	[1..1]	CodeSet		724
Or}	Proprietary <Prtry>	[1..1]	±		725
	Reference <Ref>	[1..1]	Text		725
	InvestmentsToFollowValue <InvstmtsToFlwVal>	[0..*]	±		725
	InnovativeFinance <InnvtvFinc>	[0..*]			725
	Type <Tp>	[1..1]	±		725
	Information <Inf>	[1..1]	Text		726
	LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	726
	TaxCalculationBase <TaxClctnBase>	[0..1]	Amount	C1	726
	UnusedTaxDeduction <UusdTaxDdctn>	[0..1]	Amount	C1	727
	CurrentInvestmentAmount <CurInvstmtAmt>	[0..1]	Amount	C1	727
	EstimatedValue <EstmtdVal>	[0..1]	±		728
	AdditionalInformation <AddtlInf>	[0..*]	±		728
Or	GeneralInvestment <Gnllnvstmt>	[1..1]	±		728
Or}	Pension <Pnsn>	[1..1]		C10, C11, C36, C37, C38, C39, C44, C45, C48	729
	Identification <Id>	[0..1]			734
	Identifier <Idr>	[1..1]	Text		734
	SubIdentifier <Subldr>	[0..1]	Text		734
	AdditionalInformation <AddtlInf>	[0..1]	±		734
	Type <Tp>	[1..1]			734
{Or	Code <Cd>	[1..1]	CodeSet		735
Or}	Proprietary <Prtry>	[1..1]	±		736
	TransferScope <TrfScp>	[0..1]	±		736
	TaxReference <TaxRef>	[0..*]	±		736
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		737
	DrawdownStatus <DrwdwnSts>	[0..1]	±		737
	DrawdownType <DrwdwnTp>	[0..1]	±		737

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	NumberOfDrawdownTranches <NbOfDrwdwnTrnchs>	[0..1]	Quantity		737
	EstimatedValue <EstmtdVal>	[0..1]	±		738
	BlockTransfer <BlckTrf>	[0..1]	Indicator		738
	BlockTransferReference <BlckTrfRef>	[0..1]	Text		738
	TaxFreeCashProtection <TaxFreeCshPrctn>	[0..1]	Indicator		738
	TaxFreeCashAmount <TaxFreeCshAmt>	[0..1]	±		738
	ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		739
	RetirementAgeProtection <RtrmntAgePrctn>	[0..1]	Indicator		739
	RetirementAge <RtrmntAge>	[0..1]	Quantity		739
	Sharing <Shrg>	[0..1]	Indicator		739
	LumpSumType <LumpSumTp>	[0..*]	±		739
	PensionOrder <PnsnOrdr>	[0..*]	±		740
	RingFencedDrawdownAssets <RingFncdDrwdwnAssts>	[0..1]	Indicator		740
	MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>	[0..1]	±		740
	SafeguardBenefit <SfgrdBnft>	[0..1]	Indicator		740
	NonSafeguardedGuaranteedBenefits <NonSfgrddGrntedBnfts>	[0..1]	Indicator		741
	LifetimeAllowanceProtection <LftmAllwncPrctn>	[0..1]	Indicator		741
	ClientLifetimeAllowanceProtection <ClntLftmAllwncPrctn>	[0..1]	Indicator		741
	BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		741
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		741
	AdditionalInformation <AddtlInf>	[0..*]	±		742
	AllOtherCash <AllOthrCsh>	[0..*]	±		742
	CashAll <CshAll>	[0..*]	±		742
	ResidualCash <RsdlCsh>	[0..*]	±		742
	TaxDate <TaxDt>	[0..1]	Date		743
	PaymentDetails <PmtDtls>	[0..1]	±		743
	FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>	[0..*]		C7, C8, C13, C14, C22	745
	LineIdentification <LineId>	[0..1]	Text		748
	Instrument <Instrm>	[1..1]			748

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Security <Scty>	[1..1]	±	C26	748
Or	CashAsset <CshAsst>	[1..1]	±	C24	749
Or}	OtherAsset <OthrAsst>	[1..1]	±		750
	Quantity <Qty>	[0..1]	±		750
	PartialInstructedQuantity <PrtlInstdQty>	[0..1]	Indicator		750
	OriginalPercentageInstructed <OrgnlPctglInstd>	[0..1]	Rate		751
	TransferType <TrfTp>	[1..1]	±	C40	751
	AdditionalAsset <AddtlAsst>	[0..1]	Indicator		751
	NotAvailable <NotAvlbl>	[0..1]	Indicator		751
	Conversion <Convs>	[0..1]	±		752
	UnitsDetails <UnitsDtls>	[0..*]	±		752
	ClientReference <ClntRef>	[0..1]	±		753
	CounterpartyReference <CtrPtyRef>	[0..1]	±		754
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		754
	AverageAcquisitionPrice <AvgAcqstnPric>	[0..1]	Amount	C1, C18	754
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	755
	TotalBookValue <TtlBookVal>	[0..1]	±		755
	OriginalCost <OrgnlCost>	[0..1]	Amount	C1	756
	LatestValuation <LatstValtn>	[0..1]	±		756
	TransfereeAccount <TrfeeAcct>	[0..1]	±		756
	Transferor <Trfr>	[0..1]	±		757
	IntermediaryInformation <IntrmyInf>	[0..*]	±		757
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		758
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		758
	EffectiveTransferDate <FctvTrfDt>	[0..1]	±		758
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		758
	PaymentDetails <PmtDtls>	[0..1]	±		759
	CrystallisationDetails <CrstllstnDtls>	[0..*]	±		761
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		762
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		762
	AssetsHeldInOwnName <AsstsHeldInOwnNm>	[0..1]	Indicator		763

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferResultsInChangeOfBeneficialOwner <TrfRsltsInChngOfBnfcIOwnr>	[0..1]	Indicator		763
	AdditionalInformation <AddtlInf>	[0..*]	±		763
	AdditionalInformation <AddtlInf>	[0..*]	±		764
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		764
	Extension <Xtnsn>	[0..*]	±	C23	764

40.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AdditonalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C4 AdditionalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C5 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 AppliedAmountRule

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

C7 AssetQuantity1Guideline

(Rule)

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C8 AssetQuantity2Guideline

(Rule)

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*

– *Error Text:*

C9 BICFI

(Rule)

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C10 BlockTransferRetirementAgeProtectionRule

(Rule)

If BlockTransfer is "false" or "0" (No), then RetirementAgeProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then RetirementAgeProtection may be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00457
- *Error Text:* RetirementAgeProtection is not allowed.

C11 BlockTransferTaxFreeCashProtectionRule

(Rule)

If BlockTransfer is "false" or "0" (No), then TaxFreeCashProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then TaxFreeCashProtection may be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00458
- *Error Text:* TaxFreeCashProtection is not allowed.

C12 BookTransferGuideline

(Rule)

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on www.smpg.info.

C13 Conversion1Rule

(Rule)

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00464
- *Error Text:* Conversion must be present.

C14 Conversion2Rule

(Rule)

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00465
- *Error Text:* Conversion is not allowed.

C15 Corporate1Rule

(Rule)

If PrimaryCorporateInvestor is not present, then SecondaryCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then SecondaryCorporateInvestor may be present. (CrossElementComplexRule)

On Condition

 /PrimaryCorporateInvestor is absent

Following Must be True

 /SecondaryCorporateInvestor Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00455
- *Error Text:* SecondaryCorporateInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C16 Corporate2Rule

(Rule)

If PrimaryCorporateInvestor is not present, then OtherCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then OtherCorporateInvestor may be present. (CrossElementComplexRule)

On Condition

 /PrimaryCorporateInvestor is absent

Following Must be True

 /OtherCorporateInvestor[*] Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00456
- *Error Text:* OtherCorporateInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C17 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C18 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C19 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C20 DepositoryGuideline

(Rule)

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on www.smpg.info.

C21 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C22 EffectiveDatesGuideline

(Rule)

When the portfolio transfer confirmation is used to confirm the intent to transfer, effective transfer date and effective settlement date are not applicable.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C23 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C24 HoldingTransferCurrencyGuideline

(Rule)

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C25 IBAN

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C26 IdentificationGuideline

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C27 IdentificationGuideline

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C28 Investor1Rule

(Rule)

If PrimaryIndividualInvestor is not present, then SecondaryIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then SecondaryIndividualInvestor may be present.
(CrossElementComplexRule)

```
On Condition
  /PrimaryIndividualInvestor is absent
Following Must be True
  /SecondaryIndividualInvestor Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00454
- *Error Text:* SecondaryIndividualInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C29 Investor2Rule

(Rule)

If PrimaryIndividualInvestor is not present, then OtherIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then OtherIndividualInvestor may be present. (CrossElementComplexRule)

```
On Condition
  /PrimaryIndividualInvestor is absent
Following Must be True
  /OtherIndividualInvestor[*] Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00453
- *Error Text:* OtherIndividualInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C30 NomineeAccountServicerRule

(Rule)

NomineeAccount/Servicer must be present when and only when different from TransferorAccount/Servicer.

This constraint is defined at the MessageDefinition level.

C31 NonStandardSLAReferenceRule

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C32 Party2PresenceRule

(Rule)

If Party2 is present, then Party1 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00128
- *Error Text:* Party1 must be present.

C33 Party3PresenceRule

(Rule)

If Party3 is present, then Party2 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00129
- *Error Text:* Party2 must be present.

C34 Party4PresenceRule

(Rule)

If Party4 is present, then Party3 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00130
- *Error Text:* Party3 must be present.

C35 Party5PresenceRule

(Rule)

If Party5 is present, then Party4 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00131
- *Error Text:* Party4 must be present.

C36 PensionOrderTypeGuideline

(Rule)

A pension policy, plan or scheme cannot have both an earmark and a sharing order.

If PensionOrder/Type/Code/SHAR is present, then PensionOrder/Type/Code/EARM is not allowed.

If PensionOrder/Type/Code/EARM is present, then PensionOrder/Type/Code/SHAR is not allowed.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C37 RetirementAgeRule

(Rule)

If RetirementAgeProtection is "false" or "0" (No), then RetirementAge is not allowed.

If RetirementAgeProtection is "true" or "1" (Yes), then RetirementAge may be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00459
- *Error Text:* RetirementAge is not allowed.

C38 RingFencedDrawdownAssets1Rule

(Rule)

If DrawdownStatus/Code/NONE (None) is present, then RingFencedDrawdownAssets is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00460
- *Error Text:* RingFencedDrawdownAssets is not allowed.

C39 RingFencedDrawdownAssets2Rule

(Rule)

If DrawdownStatus/Code/PART (Partial) or FULL (Full) is present, then RingFencedDrawdownAssets must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00461
- *Error Text:* RingFencedDrawdownAssets must be present.

C40 SECUGuideline

(Rule)

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C41 SettlementChainGuideline

(Rule)

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on www.smpg.info.

C42 SocialSecurityNumberGuideline

(Rule)

The UK Insurance Number must be indicated without spaces.

C43 SpecificPreviousYearsGuideline

(Rule)

SpecificPreviousYears must not contain the current year.

C44 TaxFreeCashAmountRule

(Rule)

If TaxFreeCashProtection is "false" or "0" (No), then TaxFreeCashAmount is not allowed.

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount may be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00439
- *Error Text:* TaxFreeCashAmount is not allowed.

C45 TaxFreeCashAndValueRule

(Rule)

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

If TaxFreeCashProtection is "false" or "0" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme may be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00462
- *Error Text:* TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

C46 TotalAmountYearToDateRule

(Rule)

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

C47 TransactionOverheadElementRule

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C48 TransferScopeTrancheIdentification1Rule

(Rule)

If TransferScope/Code/SDDT (DrawdownTranche) is not present, then DrawdownTrancheIdentification is not allowed.

If TransferScope/Code/SDDT (DrawdownTranche) is present, then DrawdownTrancheIdentification may be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00463
- *Error Text:* DrawdownTrancheIdentification is not allowed.

40.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

40.4.1 MessageReference <MsgRef>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageReference <MsgRef> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

40.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference11](#) on page 2001 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2001
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2002

40.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

40.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

40.4.5 PrimaryIndividualInvestor <PmryIndvInvstr>

Presence: [0..1]

Definition: Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

Impacted by: [C42 SocialSecurityNumberGuideline](#)

PrimaryIndividualInvestor <PmryIndvInvstr> contains the following elements (see [IndividualPerson8](#) on page 2811 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2811
	GivenName <GvnNm>	[1..1]	Text		2811
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2811
	NameSuffix <NmSfx>	[0..1]	Text		2812
	Gender <Gndr>	[0..1]	CodeSet		2812
	BirthDate <BirthDt>	[0..1]	Date		2812
	SocialSecurityNumber <ScISctyNb>	[0..1]	Text		2812
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2812

Constraints

- **SocialSecurityNumberGuideline**

(Rule)

The UK Insurance Number must be indicated without spaces.

40.4.6 RegisteredHolder <RegdHldr>

Presence: [0..1]

Definition: Official registered holder information.

Impacted by: [C42 SocialSecurityNumberGuideline](#)

RegisteredHolder <RegdHldr> contains the following elements (see [IndividualPerson8](#) on page 2811 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2811
	GivenName <GvnNm>	[1..1]	Text		2811
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2811
	NameSuffix <NmSfx>	[0..1]	Text		2812
	Gender <Gndr>	[0..1]	CodeSet		2812
	BirthDate <BirthDt>	[0..1]	Date		2812
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2812
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2812

Constraints

- **SocialSecurityNumberGuideline**

(Rule)

The UK Insurance Number must be indicated without spaces.

40.4.7 SecondaryIndividualInvestor <ScndryIndvInvstr>

Presence: [0..1]

Definition: Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

Impacted by: [C42 SocialSecurityNumberGuideline](#)

SecondaryIndividualInvestor <ScndryIndvInvstr> contains the following elements (see [IndividualPerson8](#) on page 2811 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2811
	GivenName <GvnNm>	[1..1]	Text		2811
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2811
	NameSuffix <NmSfx>	[0..1]	Text		2812
	Gender <Gndr>	[0..1]	CodeSet		2812
	BirthDate <BirthDt>	[0..1]	Date		2812
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2812
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2812

Constraints

- **SocialSecurityNumberGuideline**

(Rule)

The UK Insurance Number must be indicated without spaces.

40.4.8 OtherIndividualInvestor <OthrIndvInvstr>

Presence: [0..*]

Definition: Information identifying the other individual investors, for example, name, address, social security number and date of birth.

Impacted by: [C42 SocialSecurityNumberGuideline](#)

OtherIndividualInvestor <OthrIndvInvstr> contains the following elements (see [IndividualPerson8](#) on page 2811 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2811
	GivenName <GvnNm>	[1..1]	Text		2811
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2811
	NameSuffix <NmSfx>	[0..1]	Text		2812
	Gender <Gndr>	[0..1]	CodeSet		2812
	BirthDate <BirthDt>	[0..1]	Date		2812
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2812
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2812

Constraints

- **SocialSecurityNumberGuideline**

(Rule)

The UK Insurance Number must be indicated without spaces.

40.4.9 PrimaryCorporateInvestor <PmryCorplnvstr>

Presence: [0..1]

Definition: Information identifying the primary corporate investor, for example, name and address.

PrimaryCorporateInvestor <PmryCorplnvstr> contains the following elements (see [Organisation36](#) on page 2490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2490
	Identification <Id>	[0..1]	±		2490
	Purpose <Purp>	[0..1]	Text		2490
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	2490
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2491
	RegistrationDate <RegnDt>	[0..1]	Date		2491
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		2491
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		2491
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		2492

40.4.10 SecondaryCorporateInvestor <ScndryCorplnvstr>

Presence: [0..1]

Definition: Information identifying the secondary corporate investor, for example, name and address.

SecondaryCorporateInvestor <ScndryCorplnvstr> contains the following elements (see [Organisation36](#) on page 2490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2490
	Identification <Id>	[0..1]	±		2490
	Purpose <Purp>	[0..1]	Text		2490
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	2490
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2491
	RegistrationDate <RegnDt>	[0..1]	Date		2491
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		2491
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		2491
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		2492

40.4.11 OtherCorporateInvestor <OthrCorplnvstr>

Presence: [0..*]

Definition: Information identifying the other corporate investors, for example, name and address.

OtherCorporateInvestor <OthrCorplnvstr> contains the following elements (see [Organisation36](#) on page 2490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2490
	Identification <Id>	[0..1]	±		2490
	Purpose <Purp>	[0..1]	Text		2490
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	2490
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2491
	RegistrationDate <RegnDt>	[0..1]	Date		2491
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		2491
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		2491
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		2492

40.4.12 TransferorAccount <TrfrAcct>

Presence: [1..1]

Definition: Identification of the account owned by the investor at the old plan manager (account servicer).

TransferorAccount <TrfrAcct> contains the following elements (see [InvestmentAccount69](#) on page 1594 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1594
	Designation <Dsgnt>	[0..1]	Text		1594
	AccountName <AcctNm>	[0..1]	Text		1595
	Servicer <Svcr>	[0..1]	±		1595

40.4.13 NomineeAccount <NmneeAcct>

Presence: [0..1]

Definition: Account held in the name of a party that is not the name of the beneficial owner of the shares.

NomineeAccount <NmneeAcct> contains the following elements (see [InvestmentAccount69](#) on page 1594 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1594
	Designation <Dsgnt>	[0..1]	Text		1594
	AccountName <AcctNm>	[0..1]	Text		1595
	Servicer <Svcr>	[0..1]	±		1595

40.4.14 Transferee <Trfee>

Presence: [1..1]

Definition: Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

Transferee <Trfee> contains the following elements (see [PartyIdentification132](#) on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

40.4.15 ProductTransfer <PdctTrf>

Presence: [1..*]

Definition: Information about the portfolio and assets.

ProductTransfer <PdctTrf> contains the following **PortfolioTransfer10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		706
	TransferInstructionReference <TrfInstrRef>	[1..1]	Text		706
	TransferConfirmationIdentification <TrfConflId>	[1..1]	Text		706
	ActualTransferDate <ActTrfDt>	[0..1]	Date		707
	Portfolio <Prfl>	[0..1]			707
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]			711
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		713
	CurrentYear <CurYr>	[0..1]	Indicator		713
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		714
	PreviousYears <PrvsYrs>	[0..1]		C43	714
	PreviousYears <PrvsYrs>	[1..1]			714
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		715
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		715
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		715
	PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>	[0..1]	Amount	C1	715
	PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	715
	DateOfFirstSubscription <DtOfFrstSbcpt>	[0..1]	Date		716
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C46	716
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		716
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C1	717
	CashComponent <CshCmpnt>	[0..1]	Amount	C1	717
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C1	717
	BonusOrWithdrawal <BnsOrWdrwl>	[0..*]			718
	TypeOfAmount <TpOfAmt>	[1..1]			718
{Or	Code <Cd>	[1..1]	CodeSet		719
Or}	Proprietary <Prtry>	[1..1]	±		719
	Amount <Amt>	[0..1]	Amount	C2	719
	Reason <Rsn>	[0..1]			720
{Or	Code <Cd>	[1..1]	CodeSet		720
Or}	Proprietary <Prtry>	[1..1]	±		720

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnclaimedAmount <UclmdAmt>	[0..1]	Amount	C2	720
	Outstanding <Outsdng>	[0..1]	Indicator		721
	Reference <Ref>	[0..1]	Text		721
	AdditionalInformation <AddtlInf>	[0..*]	±		721
	WithdrawalForResidentialPurchaseProgress <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		721
	TransferorAlternateIdentification <TrfrAltrnld>	[0..1]	Text		722
	TotalSubscriptionAmount <TtlSbcptAmt>	[0..1]	Amount	C1, C18	722
	OtherAmount <OthrAmt>	[0..*]			722
	Type <Tp>	[1..1]	±		723
	Amount <Amt>	[1..1]	Amount	C1, C18	723
	DateFirstQualifyingAddition <DtFrstQlfygAddtn>	[0..1]	Date		724
	InvestorTaxReference <InvstrTaxRef>	[0..1]			724
	Type <Tp>	[0..1]			724
{Or	Code <Cd>	[1..1]	CodeSet		724
Or}	Proprietary <Prtry>	[1..1]	±		725
	Reference <Ref>	[1..1]	Text		725
	InvestmentsToFollowValue <InvstmtsToFlwVal>	[0..*]	±		725
	InnovativeFinance <InnvtrFinc>	[0..*]			725
	Type <Tp>	[1..1]	±		725
	Information <Inf>	[1..1]	Text		726
	LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	726
	TaxCalculationBase <TaxClctnBase>	[0..1]	Amount	C1	726
	UnusedTaxDeduction <UusdTaxDdctn>	[0..1]	Amount	C1	727
	CurrentInvestmentAmount <CurInvstmtAmt>	[0..1]	Amount	C1	727
	EstimatedValue <EstmtVal>	[0..1]	±		728
	AdditionalInformation <AddtlInf>	[0..*]	±		728
Or	GeneralInvestment <GnlInvstmt>	[1..1]	±		728
Or}	Pension <Pnsn>	[1..1]		C10, C11, C36, C37, C38, C39,	729

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
				C44, C45, C48	
	Identification <Id>	[0..1]			734
	Identifier <Idr>	[1..1]	Text		734
	SubIdentifier <Subldr>	[0..1]	Text		734
	AdditionalInformation <AddtlInf>	[0..1]	±		734
	Type <Tp>	[1..1]			734
{Or	Code <Cd>	[1..1]	CodeSet		735
Or}	Proprietary <Prtry>	[1..1]	±		736
	TransferScope <TrfScp>	[0..1]	±		736
	TaxReference <TaxRef>	[0..*]	±		736
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		737
	DrawdownStatus <DrwdwnSts>	[0..1]	±		737
	DrawdownType <DrwdwnTp>	[0..1]	±		737
	NumberOfDrawdownTranches <NbOfDrwdwnTrnchs>	[0..1]	Quantity		737
	EstimatedValue <EstmtdVal>	[0..1]	±		738
	BlockTransfer <BlckTrf>	[0..1]	Indicator		738
	BlockTransferReference <BlckTrfRef>	[0..1]	Text		738
	TaxFreeCashProtection <TaxFreeCshPrtcn>	[0..1]	Indicator		738
	TaxFreeCashAmount <TaxFreeCshAmt>	[0..1]	±		738
	ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		739
	RetirementAgeProtection <RtrmntAgePrtcn>	[0..1]	Indicator		739
	RetirementAge <RtrmntAge>	[0..1]	Quantity		739
	Sharing <Shrg>	[0..1]	Indicator		739
	LumpSumType <LumpSumTp>	[0..*]	±		739
	PensionOrder <PnsnOrdr>	[0..*]	±		740
	RingFencedDrawdownAssets <RingFncdDrwdwnAssts>	[0..1]	Indicator		740
	MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>	[0..1]	±		740
	SafeguardBenefit <SfgrdBnft>	[0..1]	Indicator		740
	NonSafeguardedGuaranteedBenefits <NonSfgrddGrntedBnfts>	[0..1]	Indicator		741

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LifetimeAllowanceProtection <LfmAllwncPrtcn>	[0..1]	Indicator		741
	ClientLifetimeAllowanceProtection <ClntLfmAllwncPrtcn>	[0..1]	Indicator		741
	BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		741
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		741
	AdditionalInformation <AddtlInf>	[0..*]	±		742
	AllOtherCash <AlIOthrCsh>	[0..*]	±		742
	CashAll <CshAll>	[0..*]	±		742
	ResidualCash <RsdICsh>	[0..*]	±		742
	TaxDate <TaxDt>	[0..1]	Date		743
	PaymentDetails <PmtDtls>	[0..1]	±		743
	FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>	[0..*]		C7, C8, C13, C14, C22	745
	LineIdentification <LineId>	[0..1]	Text		748
	Instrument <Instrm>	[1..1]			748
{Or	Security <Scty>	[1..1]	±	C26	748
Or	CashAsset <CshAsst>	[1..1]	±	C24	749
Or}	OtherAsset <OthrAsst>	[1..1]	±		750
	Quantity <Qty>	[0..1]	±		750
	PartialInstructedQuantity <PrtlInstdQty>	[0..1]	Indicator		750
	OriginalPercentageInstructed <OrgnlPctglnstd>	[0..1]	Rate		751
	TransferType <TrfTp>	[1..1]	±	C40	751
	AdditionalAsset <AddtlAsst>	[0..1]	Indicator		751
	NotAvailable <NotAvlbl>	[0..1]	Indicator		751
	Conversion <Convs>	[0..1]	±		752
	UnitsDetails <UnitsDtls>	[0..*]	±		752
	ClientReference <ClntRef>	[0..1]	±		753
	CounterpartyReference <CtrPtyRef>	[0..1]	±		754
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		754
	AverageAcquisitionPrice <AvgAcqstnPric>	[0..1]	Amount	C1, C18	754
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	755

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalBookValue <TtlBookVal>	[0..1]	±		755
	OriginalCost <OrgnlCost>	[0..1]	Amount	C1	756
	LatestValuation <LatstValtn>	[0..1]	±		756
	TransfereeAccount <TrfeeAcct>	[0..1]	±		756
	Transferor <Trfr>	[0..1]	±		757
	IntermediaryInformation <IntrmyInf>	[0..*]	±		757
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		758
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		758
	EffectiveTransferDate <FctvTrfDt>	[0..1]	±		758
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		758
	PaymentDetails <PmtDtls>	[0..1]	±		759
	CrystallisationDetails <CrstllstnDtls>	[0..*]	±		761
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		762
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		762
	AssetsHeldInOwnName <AsstsHeldInOwnNm>	[0..1]	Indicator		763
	TransferResultsInChangeOfBeneficialOwner <TrfRsltInChngOfBnfclOwnr>	[0..1]	Indicator		763
	AdditionalInformation <AddtlInf>	[0..*]	±		763
	AdditionalInformation <AddtlInf>	[0..*]	±		764

40.4.15.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: Max35Text on page 3409

40.4.15.2 TransferInstructionReference <TrfInstrRef>

Presence: [1..1]

Definition: Identification assigned to the transfer of assets.

Datatype: Max35Text on page 3409

40.4.15.3 TransferConfirmationIdentification <TrfConfld>

Presence: [1..1]

Definition: Identification of the confirmation assigned by the transferor to the transfer.

Datatype: Max35Text on page 3409

40.4.15.4 ActualTransferDate <ActlTrfDt>

Presence: [0..1]

Definition: Date the portfolio transfer instruction was executed.

Datatype: ISODate on page 3391

40.4.15.5 Portfolio <Prftl>

Presence: [0..1]

Definition: Choice of tax efficient product, general investment or pension.

Portfolio <Prtrl> contains one of the following **FundPortfolio7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]			711
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		713
	CurrentYear <CurYr>	[0..1]	Indicator		713
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		714
	PreviousYears <PrvsYrs>	[0..1]		C43	714
	PreviousYears <PrvsYrs>	[1..1]			714
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		715
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		715
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		715
	PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>	[0..1]	Amount	C1	715
	PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	715
	DateOfFirstSubscription <DtOfFrstSbcpt>	[0..1]	Date		716
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C46	716
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		716
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C1	717
	CashComponent <CshCmpnt>	[0..1]	Amount	C1	717
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C1	717
	BonusOrWithdrawal <BnsOrWdrwl>	[0..*]			718
	TypeOfAmount <TpOfAmt>	[1..1]			718
{Or	Code <Cd>	[1..1]	CodeSet		719
Or}	Proprietary <Prtry>	[1..1]	±		719
	Amount <Amt>	[0..1]	Amount	C2	719
	Reason <Rsn>	[0..1]			720
{Or	Code <Cd>	[1..1]	CodeSet		720
Or}	Proprietary <Prtry>	[1..1]	±		720
	UnclaimedAmount <UclmdAmt>	[0..1]	Amount	C2	720
	Outstanding <Outsdng>	[0..1]	Indicator		721
	Reference <Ref>	[0..1]	Text		721
	AdditionalInformation <AddtlInf>	[0..*]	±		721

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	WithdrawalForResidentialPurchaseProgress <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		721
	TransferorAlternateIdentification <TrfrAltrnld>	[0..1]	Text		722
	TotalSubscriptionAmount <TtlSbcptAmt>	[0..1]	Amount	C1, C18	722
	OtherAmount <OthrAmt>	[0..*]			722
	Type <Tp>	[1..1]	±		723
	Amount <Amt>	[1..1]	Amount	C1, C18	723
	DateFirstQualifyingAddition <DtFrstQllygAddtn>	[0..1]	Date		724
	InvestorTaxReference <InvstrTaxRef>	[0..1]			724
	Type <Tp>	[0..1]			724
{Or	Code <Cd>	[1..1]	CodeSet		724
Or}	Proprietary <Prtry>	[1..1]	±		725
	Reference <Ref>	[1..1]	Text		725
	InvestmentsToFollowValue <InvstmtsToFlwVal>	[0..*]	±		725
	InnovativeFinance <InnvtvFinc>	[0..*]			725
	Type <Tp>	[1..1]	±		725
	Information <Inf>	[1..1]	Text		726
	LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	726
	TaxCalculationBase <TaxClctnBase>	[0..1]	Amount	C1	726
	UnusedTaxDeduction <UusdTaxDdctn>	[0..1]	Amount	C1	727
	CurrentInvestmentAmount <CurInvstmtAmt>	[0..1]	Amount	C1	727
	EstimatedValue <EstmtdVal>	[0..1]	±		728
	AdditionalInformation <AddtlInf>	[0..*]	±		728
Or	GeneralInvestment <GnlInvstmt>	[1..1]	±		728
Or}	Pension <Pnsn>	[1..1]		C10, C11, C36, C37, C38, C39, C44, C45, C48	729
	Identification <Id>	[0..1]			734
	Identifier <Idr>	[1..1]	Text		734

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SubIdentifier <Subldr>	[0..1]	Text		734
	AdditionalInformation <AddtlInf>	[0..1]	±		734
	Type <Tp>	[1..1]			734
{Or	Code <Cd>	[1..1]	CodeSet		735
Or}	Proprietary <Prtry>	[1..1]	±		736
	TransferScope <TrfScp>	[0..1]	±		736
	TaxReference <TaxRef>	[0..*]	±		736
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		737
	DrawdownStatus <DrwdwnSts>	[0..1]	±		737
	DrawdownType <DrwdwnTp>	[0..1]	±		737
	NumberOfDrawdownTranches <NbOfDrwdwnTrnchs>	[0..1]	Quantity		737
	EstimatedValue <EstmtdVal>	[0..1]	±		738
	BlockTransfer <BlckTrf>	[0..1]	Indicator		738
	BlockTransferReference <BlckTrfRef>	[0..1]	Text		738
	TaxFreeCashProtection <TaxFreeCshPrctn>	[0..1]	Indicator		738
	TaxFreeCashAmount <TaxFreeCshAmt>	[0..1]	±		738
	ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlyOrPlanOrSchme>	[0..1]	±		739
	RetirementAgeProtection <RtrmntAgePrctn>	[0..1]	Indicator		739
	RetirementAge <RtrmntAge>	[0..1]	Quantity		739
	Sharing <Shrg>	[0..1]	Indicator		739
	LumpSumType <LumpSumTp>	[0..*]	±		739
	PensionOrder <PnsnOrdr>	[0..*]	±		740
	RingFencedDrawdownAssets <RingFncdDrwdwnAssts>	[0..1]	Indicator		740
	MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>	[0..1]	±		740
	SafeguardBenefit <SfgrdBnft>	[0..1]	Indicator		740
	NonSafeguardedGuaranteedBenefits <NonSfgrddGrntedBnfts>	[0..1]	Indicator		741
	LifetimeAllowanceProtection <LftmAllwncPrctn>	[0..1]	Indicator		741
	ClientLifetimeAllowanceProtection <ClntLftmAllwncPrctn>	[0..1]	Indicator		741
	BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		741

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		741
	AdditionalInformation <AddtlInf>	[0..*]	±		742

40.4.15.5.1 TaxEfficientProduct <TaxEffcntPdct>

Presence: [1..1]

Definition: Portfolio is a government scheme to encourage investment in securities based unit and investment trusts, offering certain tax benefits. These are not investments in their own right but are tax exempt 'wrappers' in which equities, bonds and funds can be held to shelter them from various types of tax.

In the UK, a typical tax wrapper product is known as an 'ISA' (Individual Savings Account).

TaxEfficientProduct <TaxEffcntPdct> contains the following **TaxEfficientProduct7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		713
	CurrentYear <CurYr>	[0..1]	Indicator		713
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		714
	PreviousYears <PrvsYrs>	[0..1]		C43	714
	PreviousYears <PrvsYrs>	[1..1]			714
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		715
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		715
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		715
	PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>	[0..1]	Amount	C1	715
	PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	715
	DateOfFirstSubscription <DtOfFrstSbcpt>	[0..1]	Date		716
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C46	716
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		716
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C1	717
	CashComponent <CshCmpnt>	[0..1]	Amount	C1	717
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C1	717
	BonusOrWithdrawal <BnsOrWdrwl>	[0..*]			718
	TypeOfAmount <TpOfAmt>	[1..1]			718
{Or	Code <Cd>	[1..1]	CodeSet		719
Or}	Proprietary <Prtry>	[1..1]	±		719
	Amount <Amt>	[0..1]	Amount	C2	719
	Reason <Rsn>	[0..1]			720
{Or	Code <Cd>	[1..1]	CodeSet		720
Or}	Proprietary <Prtry>	[1..1]	±		720
	UnclaimedAmount <UclmdAmt>	[0..1]	Amount	C2	720
	Outstanding <Outsdng>	[0..1]	Indicator		721
	Reference <Ref>	[0..1]	Text		721
	AdditionalInformation <AddtlInf>	[0..*]	±		721
	WithdrawalForResidentialPurchaseProgress <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		721
	TransferorAlternateIdentification <TrfrAltrnld>	[0..1]	Text		722

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalSubscriptionAmount <TtSbcptAmt>	[0..1]	Amount	C1, C18	722
	OtherAmount <OthrAmt>	[0..*]			722
	Type <Tp>	[1..1]	±		723
	Amount <Amt>	[1..1]	Amount	C1, C18	723
	DateFirstQualifyingAddition <DtFrstQlfygAddtn>	[0..1]	Date		724
	InvestorTaxReference <InvstrTaxRef>	[0..1]			724
	Type <Tp>	[0..1]			724
{Or	Code <Cd>	[1..1]	CodeSet		724
Or}	Proprietary <Prtry>	[1..1]	±		725
	Reference <Ref>	[1..1]	Text		725
	InvestmentsToFollowValue <InvstmtsToFlwVal>	[0..*]	±		725
	InnovativeFinance <Innvtfinc>	[0..*]			725
	Type <Tp>	[1..1]	±		725
	Information <Inf>	[1..1]	Text		726
	LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	726
	TaxCalculationBase <TaxClctnBase>	[0..1]	Amount	C1	726
	UnusedTaxDeduction <UusdTaxDdctn>	[0..1]	Amount	C1	727
	CurrentInvestmentAmount <CurInvstmtAmt>	[0..1]	Amount	C1	727
	EstimatedValue <EstmtdVal>	[0..1]	±		728
	AdditionalInformation <AddtlInf>	[0..*]	±		728

40.4.15.5.1.1 TaxEfficientProductType <TaxEffcntPdctTp>

Presence: [1..1]

Definition: Type of tax efficient product, for example, an individual savings account (ISA) in the UK.

TaxEfficientProductType <TaxEffcntPdctTp> contains one of the following elements (see [TaxEfficientProductType2Choice](#) on page 1873 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1873
Or}	Proprietary <Prtry>	[1..1]	±		1874

40.4.15.5.1.2 CurrentYear <CurYr>

Presence: [0..1]

Definition: Indicates that all the current fiscal year's products are included.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.1.3 CashComponentIndicator <CshCmpntInd>

Presence: [0..1]

Definition: Indicates whether, for the current year, the product contains a cash asset for transfer.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.1.4 PreviousYears <PrvsYrs>

Presence: [0..1]

Definition: Investment plans issued during previous years.

Impacted by: [C43 SpecificPreviousYearsGuideline](#)

PreviousYears <PrvsYrs> contains the following **PreviousYear4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PreviousYears <PrvsYrs>	[1..1]			714
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		715
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		715
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		715

Constraints

- **SpecificPreviousYearsGuideline**

(Rule)

SpecificPreviousYears must not contain the current year.

40.4.15.5.1.4.1 PreviousYears <PrvsYrs>

Presence: [1..1]

Definition: Investment plans issued during previous years.

PreviousYears <PrvsYrs> contains one of the following **PreviousYear1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		715
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		715

40.4.15.5.1.4.1.1 AllPreviousYears <AllPrvsYrs>

Presence: [1..1]

Definition: Selection of all investment plans.

Datatype: PreviousAll on page 3410

40.4.15.5.1.4.1.2 SpecificPreviousYears <SpfcPrvsYrs>

Presence: [1..*]

Definition: Selection of investment plans issued during previous years.

Datatype: ISOYear on page 3411

40.4.15.5.1.4.2 CashComponentIndicator <CshCmpntInd>

Presence: [0..1]

Definition: Indicates whether the product contains a cash asset for transfer from previous years.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.1.5 PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>

Presence: [0..1]

Definition: Subscriptions from the previous subscription year.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

40.4.15.5.1.6 PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>

Presence: [0..1]

Definition: Amount subscribed in all previous years.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

40.4.15.5.1.7 DateOfFirstSubscription <DtOfFrstSbcpt>

Presence: [0..1]

Definition: Date the investment plan started.

Datatype: [ISODate on page 3391](#)

40.4.15.5.1.8 CurrentYearSubscriptionDetails <CurYrSbcptDtls>

Presence: [0..1]

Definition: Amounts already subscribed for the current year.

Impacted by: [C46 TotalAmountYearToDateRule](#)

CurrentYearSubscriptionDetails <CurYrSbcptDtls> contains the following **SubscriptionInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		716
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C1	717
	CashComponent <CshCmpnt>	[0..1]	Amount	C1	717
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C1	717

Constraints

- **TotalAmountYearToDateRule**

(Rule)

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

40.4.15.5.1.8.1 DateOfFirstSubscription <DtOfFrstSbcpt>

Presence: [1..1]

Definition: Date of the first subscription in the current year.

Datatype: [ISODate on page 3391](#)

40.4.15.5.1.8.2 EquityComponent <EqtyCmpnt>

Presence: [0..1]

Definition: Amount subscribed in the current tax year into equities (not including dividends).

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

40.4.15.5.1.8.3 CashComponent <CshCmpnt>

Presence: [0..1]

Definition: Amount subscribed in the current tax year into cash.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

40.4.15.5.1.8.4 TotalAmountYearToDate <TtlAmtYrToDt>

Presence: [1..1]

Definition: Total amount subscribed in the current tax year.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

40.4.15.5.1.9 BonusOrWithdrawal <BnsOrWdrwl>

Presence: [0..*]

Definition: Bonus paid out or withdrawn.

BonusOrWithdrawal <BnsOrWdrwl> contains the following **BonusWithdrawal2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TypeOfAmount <TpOfAmt>	[1..1]			718
{Or	Code <Cd>	[1..1]	CodeSet		719
Or}	Proprietary <Prtry>	[1..1]	±		719
	Amount <Amt>	[0..1]	Amount	C2	719
	Reason <Rsn>	[0..1]			720
{Or	Code <Cd>	[1..1]	CodeSet		720
Or}	Proprietary <Prtry>	[1..1]	±		720
	UnclaimedAmount <UclmdAmt>	[0..1]	Amount	C2	720
	Outstanding <Outsdng>	[0..1]	Indicator		721
	Reference <Ref>	[0..1]	Text		721
	AdditionalInformation <AddtlInf>	[0..*]	±		721

40.4.15.5.1.9.1 TypeOfAmount <TpOfAmt>

Presence: [1..1]

Definition: Specifies whether the amount is the result of a bonus paid, a withdrawal or other kind of amount.

TypeOfAmount <TpOfAmt> contains one of the following **TypeOfAmount1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		719
Or}	Proprietary <Prtry>	[1..1]	±		719

40.4.15.5.1.9.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of amount expressed as a code.

Datatype: [TaxWrapperAmountType1Code](#) on page 3377

CodeName	Name	Definition
BONU	Bonus	Type of amount is a bonus, for example, a government bonus.
WTHD	Withdrawal	Type of amount is a withdrawal, for example, a withdrawal for a first time residential purchase.

40.4.15.5.1.9.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of amount expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

40.4.15.5.1.9.2 Amount <Amt>

Presence: [0..1]

Definition: Amount of the bonus paid or the claimed amount. For example, a claimed amount for a lifetime ISA (LISA) or a government bonus paid out.

Impacted by: [C2 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyAnd13DecimalAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

40.4.15.5.1.9.3 Reason <Rsn>

Presence: [0..1]

Definition: Reason for the bonus amount paid to or an amount withdrawn from the investment product.

Reason <Rsn> contains one of the following **WithdrawalReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		720
Or}	Proprietary <Prtry>	[1..1]	±		720

40.4.15.5.1.9.3.1 Code <Cd>

Presence: [1..1]

Definition: Withdrawal reason expressed as a code.

Datatype: [PortfolioWithdrawalReason1Code on page 3329](#)

CodeName	Name	Definition
FTRS	FirstTimeResidentialProperty	Withdrawal is for a first time residential property.

40.4.15.5.1.9.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Withdrawal reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

40.4.15.5.1.9.4 UnclaimedAmount <UclmdAmt>

Presence: [0..1]

Definition: Amount of an unclaimed bonus or an unclaimed withdrawal.

Impacted by: [C2 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239](#)

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

40.4.15.5.1.9.5 Outstanding <Outsdng>

Presence: [0..1]

Definition: Indicates whether there is an outstanding bonus or withdrawal amount.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.1.9.6 Reference <Ref>

Presence: [0..1]

Definition: Identification of the withdrawal or bonus.

Datatype: [Max35Text on page 3409](#)

40.4.15.5.1.9.7 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the monies paid out or withdrawn.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

40.4.15.5.1.10 WithdrawalForResidentialPurchaseProgress <WdrwlForResdttlPurchsPrgrs>

Presence: [0..1]

Definition: Indicates if there is a related property purchase in progress at the point of transfer. May be applicable to products such as Lifetime Individual Savings Account (LISA) products.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.1.11 TransferorAlternateIdentification <TrfrAltrnId>

Presence: [0..1]

Definition: Alternative identification for the transferor (ceding party), for example, the 'ISA manager Z reference' in the UK.

Datatype: Max35Text on page 3409

40.4.15.5.1.12 TotalSubscriptionAmount <TtlSbcptAmt>

Presence: [0..1]

Definition: Total amount subscribed over the lifetime of the product.

Impacted by: C1 ActiveCurrency, C18 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

40.4.15.5.1.13 OtherAmount <OthrAmt>

Presence: [0..*]

Definition: Another amount such as the total qualifying additions in the year of transfer, interest capitalised in the current year, total outstanding dividend and so on.

OtherAmount <OthrAmt> contains the following **OtherAmount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		723
	Amount <Amt>	[1..1]	Amount	C1, C18	723

40.4.15.5.1.13.1 Type <Tp>

Presence: [1..1]

Definition: Type of amount.

Type <Tp> contains the following elements (see [GenericIdentification1 on page 2021](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

40.4.15.5.1.13.2 Amount <Amt>

Presence: [1..1]

Definition: Currency and amount.

Impacted by: [C1 ActiveCurrency](#), [C18 CurrencyAmount](#)

Datatype: [ActiveCurrencyAndAmount on page 3238](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

40.4.15.5.1.14 DateFirstQualifyingAddition <DtFrstQlfygAddtn>

Presence: [0..1]

Definition: Date the first qualifying additional amount was made to the product. Qualifying additional amounts may be made to a Lifetime Individual Savings Account (LISA) product.

Datatype: [ISODate on page 3391](#)

40.4.15.5.1.15 InvestorTaxReference <InvstrTaxRef>

Presence: [0..1]

Definition: Identification of the investor as assigned by a tax authority.

InvestorTaxReference <InvstrTaxRef> contains the following **TaxReference2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			724
{Or	Code <Cd>	[1..1]	CodeSet		724
Or}	Proprietary <Prtry>	[1..1]	±		725
	Reference <Ref>	[1..1]	Text		725

40.4.15.5.1.15.1 Type <Tp>

Presence: [0..1]

Definition: Type of tax reference.

Type <Tp> contains one of the following **TaxReferenceType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		724
Or}	Proprietary <Prtry>	[1..1]	±		725

40.4.15.5.1.15.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of tax reference expressed as a code.

Datatype: [PersonIdentificationType7Code on page 3328](#)

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.

CodeName	Name	Definition
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

40.4.15.5.1.15.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of tax reference expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

40.4.15.5.1.15.2 Reference <Ref>

Presence: [1..1]

Definition: Pension scheme tax reference issued to the pension plan by a central organisation.

Datatype: [Max35Text](#) on page 3409

40.4.15.5.1.16 InvestmentsToFollowValue <InvstmtsToFilwVal>

Presence: [0..*]

Definition: Value of the investments to follow.

InvestmentsToFollowValue <InvstmtsToFilwVal> contains the following elements (see [DateAndAmount2](#) on page 1612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

40.4.15.5.1.17 InnovativeFinance <InnvtvFinc>

Presence: [0..*]

Definition: Information about an innovative finance product.

InnovativeFinance <InnvtvFinc> contains the following **InnovativeFinance1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		725
	Information <Inf>	[1..1]	Text		726

40.4.15.5.1.17.1 Type <Tp>

Presence: [1..1]

Definition: Type of innovative finance product.

Type <Tp> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

40.4.15.5.1.17.2 Information <Inf>

Presence: [1..1]

Definition: Details of an innovative finance product.

Datatype: [Max350Text](#) on page 3409

40.4.15.5.1.18 LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>

Presence: [0..1]

Definition: Lowest investment amount in the current year, used to calculate a tax deduction amount.

Impacted by: [C1 ActiveCurrency](#)

Datatype: [ActiveCurrencyAnd13DecimalAmount](#) on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

40.4.15.5.1.19 TaxCalculationBase <TaxClctnBase>

Presence: [0..1]

Definition: Amount of money from which the tax deduction is calculated.

Impacted by: [C1 ActiveCurrency](#)

Datatype: [ActiveCurrencyAnd13DecimalAmount](#) on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

40.4.15.5.1.20 UnusedTaxDeduction <UusdTaxDdctn>

Presence: [0..1]

Definition: Unused tax deduction amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

40.4.15.5.1.21 CurrentInvestmentAmount <CurInvstmtAmt>

Presence: [0..1]

Definition: Amount of money invested.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- Error severity: Fatal
- Error Code: D00005
- Error Text: Invalid currency code

40.4.15.5.1.22 EstimatedValue <EstmtdVal>

Presence: [0..1]

Definition: Estimated value of the assets of the tax efficient product to be transferred.

EstimatedValue <EstmtdVal> contains the following elements (see [DateAndAmount2](#) on page 1612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

40.4.15.5.1.23 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the tax efficient product.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

40.4.15.5.2 GeneralInvestment <GnlInvstmt>

Presence: [1..1]

Definition: Portfolio is a general investment.

GeneralInvestment <GnlInvstmt> contains the following elements (see [GeneralInvestment2](#) on page 1865 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1865
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1865
	CurrentInvestmentAmount <CurlInvstmtAmt>	[0..1]	Amount	C2	1867
	EstimatedValue <EstmtdVal>	[0..1]	±		1867
	AdditionalInformation <AddtlInf>	[0..*]	±		1867

40.4.15.5.3 Pension <Pnsn>

Presence: [1..1]

Definition: Portfolio is a pension policy, plan or scheme.

Impacted by: C10 BlockTransferRetirementAgeProtectionRule, C11 BlockTransferTaxFreeCashProtectionRule, C36 PensionOrderTypeGuideline, C37 RetirementAgeRule, C38 RingFencedDrawdownAssets1Rule, C39 RingFencedDrawdownAssets2Rule, C44 TaxFreeCashAmountRule, C45 TaxFreeCashAndValueRule, C48 TransferScopeTrancheIdentification1Rule

Pension <Pnsn> contains the following **Pension5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			734
	Identifier <Idr>	[1..1]	Text		734
	SubIdentifier <Subldr>	[0..1]	Text		734
	AdditionalInformation <AddtlInf>	[0..1]	±		734
	Type <Tp>	[1..1]			734
{Or	Code <Cd>	[1..1]	CodeSet		735
Or}	Proprietary <Prtry>	[1..1]	±		736
	TransferScope <TrfScp>	[0..1]	±		736
	TaxReference <TaxRef>	[0..*]	±		736
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		737
	DrawdownStatus <DrwdwnSts>	[0..1]	±		737
	DrawdownType <DrwdwnTp>	[0..1]	±		737
	NumberOfDrawdownTranches <NbOfDrwdwnTrnchs>	[0..1]	Quantity		737
	EstimatedValue <EstmtdVal>	[0..1]	±		738
	BlockTransfer <BlckTrf>	[0..1]	Indicator		738
	BlockTransferReference <BlckTrfRef>	[0..1]	Text		738
	TaxFreeCashProtection <TaxFreeCshPrtcn>	[0..1]	Indicator		738
	TaxFreeCashAmount <TaxFreeCshAmt>	[0..1]	±		738
	ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		739
	RetirementAgeProtection <RtrmntAgePrtcn>	[0..1]	Indicator		739
	RetirementAge <RtrmntAge>	[0..1]	Quantity		739
	Sharing <Shrg>	[0..1]	Indicator		739
	LumpSumType <LumpSumTp>	[0..*]	±		739
	PensionOrder <PnsnOrdr>	[0..*]	±		740
	RingFencedDrawdownAssets <RingFncdDrwdwnAssts>	[0..1]	Indicator		740
	MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>	[0..1]	±		740
	SafeguardBenefit <SfgrdBnft>	[0..1]	Indicator		740
	NonSafeguardedGuaranteedBenefits <NonSfgrddGrntedBnfts>	[0..1]	Indicator		741
	LifetimeAllowanceProtection <LftmAllwncPrtcn>	[0..1]	Indicator		741

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClientLifetimeAllowanceProtection <ClntLftmAllwncPrctn>	[0..1]	Indicator		741
	BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		741
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		741
	AdditionalInformation <AddtlInf>	[0..*]	±		742

Constraints

- **BlockTransferRetirementAgeProtectionRule**

(Rule)

If BlockTransfer is "false" or "0" (No), then RetirementAgeProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then RetirementAgeProtection may be present.

On Condition

 /BlockTransfer is equal to value 'false'

Or /BlockTransfer is equal to value '0'

Following Must be True

 /RetirementAgeProtection Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00457
- *Error Text:* RetirementAgeProtection is not allowed.

- **BlockTransferTaxFreeCashProtectionRule**

(Rule)

If BlockTransfer is "false" or "0" (No), then TaxFreeCashProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then TaxFreeCashProtection may be present.

On Condition

 /BlockTransfer is equal to value 'false'

Or /BlockTransfer is equal to value '0'

Following Must be True

 /TaxFreeCashProtection Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00458
- *Error Text:* TaxFreeCashProtection is not allowed.

- **PensionOrderTypeGuideline**

(Rule)

A pension policy, plan or scheme cannot have both an earmark and a sharing order.

If PensionOrder/Type/Code/SHAR is present, then PensionOrder/Type/Code/EARM is not allowed.

If PensionOrder/Type/Code/EARM is present, then PensionOrder/Type/Code/SHAR is not allowed.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **RetirementAgeRule**

(Rule)

If RetirementAgeProtection is "false" or "0" (No), then RetirementAge is not allowed.

If RetirementAgeProtection is "true" or "1" (Yes), then RetirementAge may be present.

On Condition

 /RetirementAgeProtection is equal to value 'false'

 Or /RetirementAgeProtection is equal to value '0'

Following Must be True

 /RetirementAge Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00459
- *Error Text:* RetirementAge is not allowed.

- **RingFencedDrawdownAssets1Rule**

(Rule)

If DrawdownStatus/Code/NONE (None) is present, then RingFencedDrawdownAssets is not allowed.

On Condition

 /DrawdownStatus/Code is equal to value 'None'

Following Must be True

 /RingFencedDrawdownAssets Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00460
- *Error Text:* RingFencedDrawdownAssets is not allowed.

- **RingFencedDrawdownAssets2Rule**

(Rule)

If DrawdownStatus/Code/PART (Partial) or FULL (Full) is present, then RingFencedDrawdownAssets must be present.

On Condition

 /DrawdownStatus/Code is equal to value 'Partial'

 Or /DrawdownStatus/Code is equal to value 'Full'

Following Must be True

 /RingFencedDrawdownAssets Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00461
- *Error Text:* RingFencedDrawdownAssets must be present.

• **TaxFreeCashAmountRule**

(Rule)

If TaxFreeCashProtection is "false" or "0" (No), then TaxFreeCashAmount is not allowed.

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount may be present.

On Condition

 /TaxFreeCashProtection is equal to value 'false'

 Or /TaxFreeCashProtection is equal to value '0'

Following Must be True

 /TaxFreeCashAmount Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00439
- *Error Text:* TaxFreeCashAmount is not allowed.

• **TaxFreeCashAndValueRule**

(Rule)

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

If TaxFreeCashProtection is "false" or "0" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme may be present.

On Condition

 /TaxFreeCashProtection is equal to value 'true'

 Or /TaxFreeCashProtection is equal to value '1'

Following Must be True

 /TaxFreeCashAmount Must be present

 And /ValueOfPensionPolicyOrPlanOrScheme Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00462
- *Error Text:* TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

• **TransferScopeTrancheIdentification1Rule**

(Rule)

If TransferScope/Code/SDDT (DrawdownTranche) is not present, then DrawdownTrancheIdentification is not allowed.

If TransferScope/Code/SDDT (DrawdownTranche) is present, then DrawdownTrancheIdentification may be present.

On Condition
 /TransferScope/Code is different from value 'DrawdownTranche'
 Following Must be True
 /DrawdownTrancheIdentification Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00463
- *Error Text:* DrawdownTrancheIdentification is not allowed.

40.4.15.5.3.1 Identification <Id>

Presence: [0..1]

Definition: Identification of the pension policy, plan or scheme.

Identification <Id> contains the following **PensionPolicy1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identifier <Idr>	[1..1]	Text		734
	SubIdentifier <Subldr>	[0..1]	Text		734
	AdditionalInformation <AddtlInf>	[0..1]	±		734

40.4.15.5.3.1.1 Identifier <Idr>

Presence: [1..1]

Definition: Reference number of the pension policy, plan or scheme.

Datatype: [Max35Text on page 3409](#)

40.4.15.5.3.1.2 SubIdentifier <Subldr>

Presence: [0..1]

Definition: Sub-identification of the pension policy, plan or scheme, such as a member reference.

Datatype: [Max35Text on page 3409](#)

40.4.15.5.3.1.3 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the identification of the pension policy, plan or scheme.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

40.4.15.5.3.2 Type <Tp>

Presence: [1..1]

Definition: Type of pension policy, plan or scheme.

Type <Tp> contains one of the following **PensionSchemeType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		735
Or}	Proprietary <Prtry>	[1..1]	±		736

40.4.15.5.3.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of pension policy, plan or scheme expressed as a code.

Datatype: [PensionSchemeType3Code on page 3325](#)

CodeName	Name	Definition
AAVC	AdditionalVoluntaryContribution	Pension plan is an additional voluntary contribution plan.
DBEN	DefinedBenefit	Pension plan is a defined benefit plan.
EXPP	ExecutivePensionPlan	Pension plan is an executive pension plan.
FAVC	FreeStandingAdditionalVoluntaryContribution	Pension plan is a free standing additional voluntary contribution plan.
GPPS	GroupPersonalPension	Pension is a group personal pension.
SIPG	GroupSelfInvestedPension	Pension plan is a group self-invested pension plan.
STKG	GroupStakeholder	Pension plan is a group stakeholder pension plan.
IPST	IndividualPensionWithTaxBenefit	Pension is an individual pension savings plan with a tax benefit. This is known as an Individual Pension Schema (IPS) in some markets.
STKI	IndividualStakeholder	Pension plan is an individual stakeholder pension.
OTPM	MandatoryOccupationalPension	Pension is a mandatory occupational pension. This is known as an Obligatory Occupation Pension (OTP) in some markets.
OCDC	OccupationalDefinedContribution	Pension plan is an occupational defined contribution plan.
PPNS	PersonalPension	Pension is a personal pension plan.
EPKA	PersonalPensionAccount	Pension is a personal pension account. This is known as Employee Pension Kapital (EPK) in some markets.
ITPO	PrivateOccupationalPension	Pension is a private occupational pension. This is known as an industrial and trade supplementary pension (ITP) in some markets.
REAN	RetirementAnnuity	Pension plan is a retirement annuity.

CodeName	Name	Definition
SC32	Section32	Pension type covered by section 32.
S32A	Section32A	Pension type covered by section 32A.
SIPP	SelfInvestedPersonalPension	Pension is a self-invested personal pension plan.
SSAS	SmallSelfAdministeredScheme	Pension is a small self-administered pension scheme.
NWRP	NonWrapperPension	Indicates that the party does not operate the pension wrapper.

40.4.15.5.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of pension policy, plan or scheme expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

40.4.15.5.3.3 TransferScope <TrfScp>

Presence: [0..1]

Definition: Scope of the pension policy, plan or scheme transfer.

TransferScope <TrfScp> contains one of the following elements (see [PensionTransferScope1Choice](#) on page 2228 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2228
Or}	Proprietary <Prtry>	[1..1]	±		2228

40.4.15.5.3.4 TaxReference <TaxRef>

Presence: [0..*]

Definition: Tax reference issued to the pension policy, plan or scheme by a central organisation.

TaxReference <TaxRef> contains the following elements (see [TaxReference1](#) on page 3070 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[0..1]			3071
{Or	Code <Cd>	[1..1]	CodeSet		3071
Or}	Proprietary <Prtry>	[1..1]	±		3071
	Reference <Ref>	[1..1]	Text		3072
	HolderType <HldrTp>	[0..1]			3072
{Or	Code <Cd>	[1..1]	CodeSet		3072
Or}	Proprietary <Prtry>	[1..1]	±		3072

40.4.15.5.3.5 DrawdownTrancheIdentification <DrwdwnTrchld>

Presence: [0..1]

Definition: Reference of the drawdown.

Datatype: [Max35Text](#) on page 3409

40.4.15.5.3.6 DrawdownStatus <DrwdwnSts>

Presence: [0..1]

Definition: Drawdown status of the pension.

DrawdownStatus <DrwdwnSts> contains one of the following elements (see [DrawdownStatus1Choice](#) on page 2962 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2962
Or}	Proprietary <Prtry>	[1..1]	±		2962

40.4.15.5.3.7 DrawdownType <DrwdwnTp>

Presence: [0..1]

Definition: Type of drawdown tranche.

DrawdownType <DrwdwnTp> contains one of the following elements (see [DrawdownType2Choice](#) on page 2231 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2231
Or}	Proprietary <Prtry>	[1..1]	±		2232

40.4.15.5.3.8 NumberOfDrawdownTranches <NbOfDrwdwnTrnchs>

Presence: [0..1]

Definition: Number of drawdown tranches.

Datatype: [Number on page 3405](#)

40.4.15.5.3.9 EstimatedValue <EstmtdVal>

Presence: [0..1]

Definition: Estimated value of the pension policy, plan or scheme.

EstimatedValue <EstmtdVal> contains the following elements (see [DateAndAmount2 on page 1612](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

40.4.15.5.3.10 BlockTransfer <BlckTrf>

Presence: [0..1]

Definition: Indicates whether the transfer forms part of a block transfer.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.3.11 BlockTransferReference <BlckTrfRef>

Presence: [0..1]

Definition: When the transfer is part of a block transfer, reference to link several items.

Datatype: [Max35Text on page 3409](#)

40.4.15.5.3.12 TaxFreeCashProtection <TaxFreeCshPrtcn>

Presence: [0..1]

Definition: Indicates whether the tax-free cash is protected when the pension policy, plan or scheme is transferred.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.3.13 TaxFreeCashAmount <TaxFreeCshAmt>

Presence: [0..1]

Definition: Amount of cash that is tax free.

TaxFreeCashAmount <TaxFreeCshAmt> contains the following elements (see [DateAndAmount2](#) on page 1612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

40.4.15.5.3.14 ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlyOrPlanOrSchme>

Presence: [0..1]

Definition: Value of the pension policy, plan or scheme.

ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlyOrPlanOrSchme> contains the following elements (see [DateAndAmount2](#) on page 1612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

40.4.15.5.3.15 RetirementAgeProtection <RtrmntAgePrtc>

Presence: [0..1]

Definition: Indicates whether the pension policy, plan or scheme has retirement age protection.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.3.16 RetirementAge <RtrmntAge>

Presence: [0..1]

Definition: Age at which the pension policy, plan or scheme holder retires.

Datatype: [DecimalNumber](#) on page 3405

40.4.15.5.3.17 Sharing <Shrg>

Presence: [0..1]

Definition: Indicates whether the pension benefits are shared.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.3.18 LumpSumType <LumpSumTp>

Presence: [0..*]

Definition: Type of lump sum paid to a member of the pension policy, plan or scheme.

LumpSumType <LumpSumTp> contains one of the following elements (see [LumpSumType1Choice](#) on page 2230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2231
Or}	Proprietary <Prtry>	[1..1]	±		2231

40.4.15.5.3.19 PensionOrder <PnsnOrdr>

Presence: [0..*]

Definition: Order attached to the pension policy, plan or scheme.

PensionOrder <PnsnOrdr> contains the following elements (see [PensionOrder1](#) on page 2229 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2229
{Or	Code <Cd>	[1..1]	CodeSet		2230
Or}	Proprietary <Prtry>	[1..1]	±		2230
	AdditionalInformation <AddtlInf>	[0..*]	±		2230

40.4.15.5.3.20 RingFencedDrawdownAssets <RingFncdDrwdwnAssts>

Presence: [0..1]

Definition: Indicates whether assets held within the pension are ring-fenced into specific tranches.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.3.21 MoneyPurchaseAnnualAllowance <MnyPurchsAniAllwnc>

Presence: [0..1]

Definition: Money Purchase Annual Allowance (MPAA) details.

MoneyPurchaseAnnualAllowance <MnyPurchsAniAllwnc> contains the following elements (see [MoneyPurchaseAnnualAllowance1](#) on page 2229 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Triggered <Trggrd>	[1..1]	Indicator		2229
	TriggeredDate <TrggrdDt>	[0..1]	Date		2229

40.4.15.5.3.22 SafeguardBenefit <SfgrdBnft>

Presence: [0..1]

Definition: Indicates whether the pension policy, plan or scheme is covered by a safeguard benefit.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.3.23 NonSafeguardedGuaranteedBenefits <NonSfgrddGrntedBnfts>

Presence: [0..1]

Definition: Indicates whether the pension policy, plan or scheme has non-safeguarded guaranteed benefits.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.3.24 LifetimeAllowanceProtection <LftmAllwncPrtcnc>

Presence: [0..1]

Definition: Indicates whether the pension policy, plan or scheme has lifetime allowance protection.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.3.25 ClientLifetimeAllowanceProtection <CintLftmAllwncPrtcnc>

Presence: [0..1]

Definition: Indicates whether the client has any lifetime allowance protection.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.3.26 BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>

Presence: [0..1]

Definition: Indicates whether a benefit crystallisation event (BCE) has occurred. This includes 'age 75 checks'.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.3.27 NonWrapperTransfer <NonWrpprTrf>

Presence: [0..1]

Definition: Indicates that the transfer is only in relation to underlying assets, and that the wrapper transfer will occur separately.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.5.3.28 AdditionalInformation <AddtInf>

Presence: [0..*]

Definition: Additional information about the pension policy, plan or scheme.

AdditionalInformation <AddtInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

40.4.15.6 AllOtherCash <AllOthrCsh>

Presence: [0..*]

Definition: Specifies whether all remaining assets in the portfolio not listed for transfer should be liquidated and transferred as cash.

AllOtherCash <AllOthrCsh> contains the following elements (see [AllOtherCash1](#) on page 2373 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		2373
	Currency <Ccy>	[0..1]	CodeSet	C2	2373

40.4.15.7 CashAll <CshAll>

Presence: [0..*]

Definition: Specifies whether all assets in the portfolio should be liquidated and transferred as cash.

CashAll <CshAll> contains the following elements (see [CashAll1](#) on page 2372 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		2372
	Currency <Ccy>	[0..1]	CodeSet	C2	2372

40.4.15.8 ResidualCash <RsdICsh>

Presence: [0..*]

Definition: Specifies how the cash in the account that is awaiting investment is to be dealt with

ResidualCash <RsdICsh> contains the following elements (see [ResidualCash2](#) on page 2370 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		2371
	Currency <Ccy>	[0..1]	CodeSet	C2	2371

40.4.15.9 TaxDate <TaxDt>

Presence: [0..1]

Definition: Tax date applicable to all the assets.

Datatype: ISODate on page 3391

40.4.15.10 PaymentDetails <PmtDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

PaymentDetails <PmtDtls> contains the following elements (see [PaymentInstrument14](#) on page 2703 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2705
	CreditTransferDetails <CdtTrfDtls>	[0..1]			2705
	Debtor <Dbtr>	[0..1]	±		2708
	DebtorAccount <DbtrAcct>	[0..1]			2709
	Name <Nm>	[0..1]	Text		2709
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2709
	Other <Othr>	[0..1]	±		2710
	DebtorAgent <DbtrAgt>	[0..1]			2710
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2710
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2711
	NameAndAddress <NmAndAdr>	[0..1]	±		2712
	LEI <LEI>	[0..1]	IdentifierSet		2712
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2713
	BranchIdentification <BrnchId>	[0..1]	±		2713
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2713
	Name <Nm>	[0..1]	Text		2713
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2713
	Other <Othr>	[0..1]	±		2714
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2714
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2715
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2715
	NameAndAddress <NmAndAdr>	[0..1]	±		2716
	LEI <LEI>	[0..1]	IdentifierSet		2716
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2717
	BranchIdentification <BrnchId>	[0..1]	±		2717
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2717
	Name <Nm>	[0..1]	Text		2717
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2717
	Other <Othr>	[0..1]	±		2718
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2718

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2719
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2719
	NameAndAddress <NmAndAdr>	[0..1]	±		2720
	LEI <LEI>	[0..1]	IdentifierSet		2720
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2721
	BranchIdentification <BrnchId>	[0..1]	±		2721
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2721
	Name <Nm>	[0..1]	Text		2721
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2721
	Other <Othr>	[0..1]	±		2722
	CreditorAgent <CdtrAgt>	[1..1]			2722
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2723
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2723
	NameAndAddress <NmAndAdr>	[0..1]	±		2724
	LEI <LEI>	[0..1]	IdentifierSet		2724
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2725
	BranchIdentification <BrnchId>	[0..1]	±		2725
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2725
	Name <Nm>	[0..1]	Text		2725
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2725
	Other <Othr>	[0..1]	±		2726
	Creditor <Cdtr>	[0..1]	±		2726
	CreditorAccount <CdtrAcct>	[1..1]			2727
	Name <Nm>	[0..1]	Text		2727
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2727
	Other <Othr>	[0..1]	±		2728

40.4.15.11 FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>

Presence: [0..*]

Definition: Asset to be transferred.

Impacted by: [C7 AssetQuantity1Guideline](#), [C8 AssetQuantity2Guideline](#), [C13 Conversion1Rule](#), [C14 Conversion2Rule](#), [C22 EffectiveDatesGuideline](#)

FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf> contains the following **FinancialInstrument100** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LineIdentification <LineId>	[0..1]	Text		748
	Instrument <Instrm>	[1..1]			748
{Or	Security <Scty>	[1..1]	±	C26	748
Or	CashAsset <CshAsst>	[1..1]	±	C24	749
Or}	OtherAsset <OthrAsst>	[1..1]	±		750
	Quantity <Qty>	[0..1]	±		750
	PartialInstructedQuantity <PrtlInstdQty>	[0..1]	Indicator		750
	OriginalPercentageInstructed <OrgnlPctgInstd>	[0..1]	Rate		751
	TransferType <TrfTp>	[1..1]	±	C40	751
	AdditionalAsset <AddtlAsst>	[0..1]	Indicator		751
	NotAvailable <NotAvlbl>	[0..1]	Indicator		751
	Conversion <Convs>	[0..1]	±		752
	UnitsDetails <UnitsDtls>	[0..*]	±		752
	ClientReference <ClntRef>	[0..1]	±		753
	CounterpartyReference <CtrPtyRef>	[0..1]	±		754
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		754
	AverageAcquisitionPrice <AvrgAcqstnPric>	[0..1]	Amount	C1, C18	754
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	755
	TotalBookValue <TtlBookVal>	[0..1]	±		755
	OriginalCost <OrgnlCost>	[0..1]	Amount	C1	756
	LatestValuation <LatstValtn>	[0..1]	±		756
	TransfereeAccount <TrfeeAcct>	[0..1]	±		756
	Transferor <Trfr>	[0..1]	±		757
	IntermediaryInformation <IntrmyInf>	[0..*]	±		757
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		758
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		758
	EffectiveTransferDate <FctvTrfDt>	[0..1]	±		758
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		758
	PaymentDetails <PmtDtls>	[0..1]	±		759
	CrystallisationDetails <CrstllstnDtls>	[0..*]	±		761

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		762
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		762
	AssetsHeldInOwnName <AsstsHeldInOwnNm>	[0..1]	Indicator		763
	TransferResultsInChangeOfBeneficialOwner <TrfRsItsInChngOfBnfclOwnc>	[0..1]	Indicator		763
	AdditionalInformation <AddtlInf>	[0..*]	±		763

Constraints

- **AssetQuantity1Guideline**

(Rule)

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **AssetQuantity2Guideline**

(Rule)

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **Conversion1Rule**

(Rule)

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present.

On Condition

 /TransferType/Code is equal to value 'Conversion'

Following Must be True

 /Conversion Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00464
- *Error Text:* Conversion must be present.

• **Conversion2Rule**

(Rule)

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed.

On Condition

/TransferType/Code is different from value 'Conversion'

Following Must be True

/Conversion Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00465
- *Error Text:* Conversion is not allowed.

• **EffectiveDatesGuideline**

(Rule)

When the portfolio transfer confirmation is used to confirm the intent to transfer, effective transfer date and effective settlement date are not applicable.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

40.4.15.11.1 Lineldentification <Lineld>

Presence: [0..1]

Definition: Identification of the line of holding in the portfolio.

Datatype: Max35Text on page 3409

40.4.15.11.2 Instrument <Instrm>

Presence: [1..1]

Definition: Identification of the asset.

Instrument <Instrm> contains one of the following **FinancialInstrument63Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Security <Scty>	[1..1]	±	C26	748
Or	CashAsset <CshAsst>	[1..1]	±	C24	749
Or}	OtherAsset <OthrAsst>	[1..1]	±		750

40.4.15.11.2.1 Security <Scty>

Presence: [1..1]

Definition: Identification of the security.

Impacted by: C26 IdentificationGuideline

Security <Scty> contains the following elements (see [FinancialInstrumentIdentification2](#) on page 1925 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1926
	Name <Nm>	[0..1]	Text		1927
	ShortName <ShrtNm>	[0..1]	Text		1927
	ClassificationType <ClssfctnTp>	[0..1]	±		1927

Constraints

- **IdentificationGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

40.4.15.11.2.2 CashAsset <CshAsst>

Presence: [1..1]

Definition: Identification of the cash asset.

Impacted by: [C24 HoldingTransferCurrencyGuideline](#)

CashAsset <CshAsst> contains the following elements (see [CashAsset3](#) on page 1923 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1924
{Or	Code <Cd>	[1..1]	CodeSet		1924
Or}	Proprietary <Prtry>	[1..1]	±		1924
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C2	1924
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	1925
	AdditionalInformation <AddtlInf>	[0..1]	±		1925

Constraints

- **HoldingTransferCurrencyGuideline**

(Rule)

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

40.4.15.11.2.3 OtherAsset <OthrAsst>

Presence: [1..1]

Definition: Identification of another kind of asset in the holding that is not a security or cash.

OtherAsset <OthrAsst> contains the following elements (see [OtherAsset2](#) on page 1921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1921
{Or	Code <Cd>	[1..1]	CodeSet		1922
Or}	Proprietary <Prtry>	[1..1]	±		1922
	Identification <Id>	[1..1]	Text		1922
	Name <Nm>	[0..1]	Text		1922
	Description <Desc>	[0..1]	Text		1923
	OtherIdentification <OthrlId>	[0..5]	Text		1923
	AdditionalInformation <AddtlInf>	[0..*]	±		1923

40.4.15.11.3 Quantity <Qty>

Presence: [0..1]

Definition: Quantity of asset transferred or to be transferred.

Quantity <Qty> contains the following elements (see [Quantity47](#) on page 2895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[0..1]	Quantity		2895
	PercentageRate <PctgRate>	[0..1]	Rate		2895
	FaceAmount <FaceAmt>	[0..1]	Amount		2895
	AmortisedValue <AmtsdVal>	[0..1]	Amount		2895
	CashAmount <CshAmt>	[0..1]	Amount	C2	2896
	OtherAsset <OthrAsst>	[0..1]	Text		2896

40.4.15.11.4 PartialInstructedQuantity <PrtlInstdQty>

Presence: [0..1]

Definition: Indicates that the quantity of asset to be transferred is a partially instructed quantity.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.11.5 OriginalPercentageInstructed <OrgnIPctglnstd>

Presence: [0..1]

Definition: Percentage rate of assets to be transferred or transferred, as originally instructed.

Datatype: [PercentageRate](#) on page 3406

40.4.15.11.6 TransferType <TrfTp>

Presence: [1..1]

Definition: Specifies how the financial instrument is transferred.

Impacted by: [C40 SECUGuideline](#)

TransferType <TrfTp> contains one of the following elements (see [TransferType2Choice](#) on page 3175 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3176
Or}	Proprietary <Prtry>	[1..1]	±		3176

Constraints

- **SECUGuideline**

(Rule)

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

40.4.15.11.7 AdditionalAsset <AddtlAsst>

Presence: [0..1]

Definition: Indicates the asset is a new asset, not previously identified by the transferor party (ceding party) in the account holding discovery process.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.11.8 NotAvailable <NotAvlbl>

Presence: [0..1]

Definition: Indicates the asset is no longer available at the transferor party (ceding party).

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.11.9 Conversion <Convs>

Presence: [0..1]

Definition: Security is to be converted into another security before transfer.

Conversion <Convs> contains the following elements (see [Conversion1](#) on page 2226 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetSecurity <TrgtScty>	[1..1]		C16	2226
	Identification <Id>	[1..1]	±		2227
	Name <Nm>	[0..1]	Text		2227
	ShortName <ShrtNm>	[0..1]	Text		2227
	AdditionalInformation <AddtlInf>	[0..*]	±		2228

40.4.15.11.10 UnitsDetails <UnitsDtls>

Presence: [0..*]

Definition: Breakdown of units.

UnitsDetails <UnitsDtls> contains the following elements (see [Unit11](#) on page 1944 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1945
	OrderDate <OrdrDt>	[0..1]	Date		1945
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1945
	CertificateNumber <CertNb>	[0..*]	Text		1946
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1946
	Reference <Ref>	[0..1]	Text		1946
	PriceDetails <PricDtls>	[0..1]	±		1946
	TransactionOverhead <TxOvrhd>	[0..1]		C17, C21	1947
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1948
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1949
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1949
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1950
	IndividualFee <IndvFee>	[0..*]	±	C6	1950
	IndividualTax <IndvTax>	[0..*]	±		1952
	OtherAmount <OthrAmt>	[0..*]			1952
	Type <Tp>	[1..1]			1952
{Or	Code <Cd>	[1..1]	CodeSet		1953
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1953
	Amount <Amt>	[1..1]	Amount	C2, C10	1953

40.4.15.11.11 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <CIntRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

40.4.15.11.12 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

Definition: Unambiguous identification of the transfer allocated by the counterparty.

CounterpartyReference <CtrPtyRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

40.4.15.11.13 BusinessFlowType <BizFlowTp>

Presence: [0..1]

Definition: Business process in which the actors are involved. This will facilitate the right business process to be triggered, according to the market business model, which may require matching instructions (double leg process) or not (single leg process).

Datatype: [BusinessFlowType1Code](#) on page 3250

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

40.4.15.11.14 AverageAcquisitionPrice <AvrgAcqstnPric>

Presence: [0..1]

Definition: Average cost per share of the security, including all fees.

Impacted by: [C1 ActiveCurrency](#) __, [C18 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

– *Error Text:* Invalid currency code or too many decimal digits.

40.4.15.11.15 TransferCurrency <TrfCcy>

Presence: [0..1]

Definition: Currency to be used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

Impacted by: C2 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00006

– *Error Text:* Invalid currency code.

40.4.15.11.16 TotalBookValue <TtIBookVal>

Presence: [0..1]

Definition: Net asset on the balance sheet, the total portfolio value minus or plus the unrealised gain or loss.

TotalBookValue <TtIBookVal> contains the following elements (see DateAndAmount2 on page 1612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

40.4.15.11.17 OriginalCost <OrgnlCost>

Presence: [0..1]

Definition: Original amount paid for the asset at the point of purchase. May also be known as the book cost.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

40.4.15.11.18 LatestValuation <LatstValtn>

Presence: [0..1]

Definition: Date and market value of the asset.

LatestValuation <LatstValtn> contains the following elements (see DateAndAmount2 on page 1612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

40.4.15.11.19 TransfereeAccount <TrfeeAcct>

Presence: [0..1]

Definition: Account held in the name of the party that is not the name of the beneficial owner of the shares.

(Party and account into which the transferee receives the financial instrument from the transferor.)

TransfereeAccount <TrfeeAcct> contains the following elements (see [Account28 on page 2065](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		2065
	AccountIdentification <Acctld>	[0..1]	Text		2066
	Designation <Dsgnt>	[0..1]	Text		2066
	AccountName <AcctNm>	[0..1]	Text		2066
	Servicer <Svcr>	[0..1]	±		2066
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2067

40.4.15.11.20 Transferor <Trfr>

Presence: [0..1]

Definition: Party and account from which the transferor delivers the financial instrument to the transferee.

Transferor <Trfr> contains the following elements (see [Account28 on page 2065](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		2065
	AccountIdentification <Acctld>	[0..1]	Text		2066
	Designation <Dsgnt>	[0..1]	Text		2066
	AccountName <AcctNm>	[0..1]	Text		2066
	Servicer <Svcr>	[0..1]	±		2066
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2067

40.4.15.11.21 IntermediaryInformation <IntrmyInf>

Presence: [0..*]

Definition: Identification of a related party or intermediary.

IntermediaryInformation <IntrmyInf> contains the following elements (see [Intermediary43](#) on page 2610 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2610
	Account <Acct>	[0..1]			2611
	Identification <Id>	[0..1]	Text		2611
	AccountServicer <AcctSvcr>	[1..1]	±		2611
	Role <Role>	[0..1]	±		2611
	ContactPerson <CtctPrsn>	[0..1]	±		2612

40.4.15.11.22 RequestedTradeDate <ReqdTradDt>

Presence: [0..1]

Definition: Date to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: [ISODate](#) on page 3391

40.4.15.11.23 RequestedSettlementDate <ReqdSttlmDt>

Presence: [0..1]

Definition: Date on which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: [ISODate](#) on page 3391

40.4.15.11.24 EffectiveTransferDate <FctvTrfDt>

Presence: [0..1]

Definition: Date and time at which the transfer was executed.

EffectiveTransferDate <FctvTrfDt> contains one of the following elements (see [DateAndDateTime2Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1826
Or}	DateTime <DtTm>	[1..1]	DateTime		1826

40.4.15.11.25 EffectiveSettlementDate <FctvSttlmDt>

Presence: [0..1]

Definition: Date and time at which the securities were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

EffectiveSettlementDate <FctvSttlmDt> contains one of the following elements (see [DateAndDateTime2Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1826
Or}	DateTime <DtTm>	[1..1]	DateTime		1826

40.4.15.11.26 PaymentDetails <PmtDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

PaymentDetails <PmtDtls> contains the following elements (see [PaymentInstrument14](#) on page 2703 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2705
	CreditTransferDetails <CdtTrfDtls>	[0..1]			2705
	Debtor <Dbtr>	[0..1]	±		2708
	DebtorAccount <DbtrAcct>	[0..1]			2709
	Name <Nm>	[0..1]	Text		2709
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2709
	Other <Othr>	[0..1]	±		2710
	DebtorAgent <DbtrAgt>	[0..1]			2710
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2710
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2711
	NameAndAddress <NmAndAdr>	[0..1]	±		2712
	LEI <LEI>	[0..1]	IdentifierSet		2712
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2713
	BranchIdentification <BrnchId>	[0..1]	±		2713
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2713
	Name <Nm>	[0..1]	Text		2713
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2713
	Other <Othr>	[0..1]	±		2714
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2714
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2715
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2715
	NameAndAddress <NmAndAdr>	[0..1]	±		2716
	LEI <LEI>	[0..1]	IdentifierSet		2716
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2717
	BranchIdentification <BrnchId>	[0..1]	±		2717
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2717
	Name <Nm>	[0..1]	Text		2717
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2717
	Other <Othr>	[0..1]	±		2718
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2718

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2719
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2719
	NameAndAddress <NmAndAdr>	[0..1]	±		2720
	LEI <LEI>	[0..1]	IdentifierSet		2720
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2721
	BranchIdentification <BrnchId>	[0..1]	±		2721
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2721
	Name <Nm>	[0..1]	Text		2721
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2721
	Other <Othr>	[0..1]	±		2722
	CreditorAgent <CdtrAgt>	[1..1]			2722
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2723
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2723
	NameAndAddress <NmAndAdr>	[0..1]	±		2724
	LEI <LEI>	[0..1]	IdentifierSet		2724
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2725
	BranchIdentification <BrnchId>	[0..1]	±		2725
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2725
	Name <Nm>	[0..1]	Text		2725
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2725
	Other <Othr>	[0..1]	±		2726
	Creditor <Cdtr>	[0..1]	±		2726
	CreditorAccount <CdtrAcct>	[1..1]			2727
	Name <Nm>	[0..1]	Text		2727
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2727
	Other <Othr>	[0..1]	±		2728

40.4.15.11.27 CrystallisationDetails <CrstllstnDtls>

Presence: [0..*]

Definition: Number of units that have been received (crystallised) or not yet received (uncrystallised) from the fund. This is typically relevant to a pension fund.

CrystallisationDetails <CrstllstnDtls> contains the following elements (see [Crystallisation2](#) on page 2224 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TrancheIdentification <TrchId>	[1..1]	Text		2224
	CrystallisedUnitsNumber <CrstllsdUnitsNb>	[0..1]	Quantity		2225
	UncrystallisedUnitsNumber <UcrstllsdUnitsNb>	[0..1]	Quantity		2225
	CrystallisedAmount <CrstllsdAmt>	[0..1]	Amount	C2	2225
	UncrystallisedAmount <UcrstllsdAmt>	[0..1]	Amount	C2	2225
	AdditionalInformation <AddtlInf>	[0..*]	±		2226

40.4.15.11.28 TaxValuationPoint <TaxValtnPt>

Presence: [0..1]

Definition: Date or tax quarter used for the calculation of tax on the asset.

TaxValuationPoint <TaxValtnPt> contains the following elements (see [Tax36](#) on page 1823 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOrPeriod <DtOrPrd>	[1..1]			1823
{Or	Date <Dt>	[1..1]	Date		1824
Or}	Period <Prd>	[1..1]	Text		1824
	AdditionalInformation <AddtlInf>	[0..*]	±		1824

40.4.15.11.29 SettlementPartiesDetails <SttlmPtiesDtls>

Presence: [0..1]

Definition: Chain of parties involved in the settlement of a transaction.

SettlementPartiesDetails <SttlmPtiesDtls> contains the following elements (see FundSettlementParameters17 on page 3162 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		3162
	TradeTransactionCondition <TradTxCond>	[0..*]	±		3163
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		3163
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		3163
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3164
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3166

40.4.15.11.30 AssetsHeldInOwnName <AsstsHeldInOwnNm>

Presence: [0..1]

Definition: Indicates whether the assets are held in an individual's own name.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.11.31 TransferResultsInChangeOfBeneficialOwner <TrfRsItsInChngOfBnfclOwnr>

Presence: [0..1]

Definition: Indicates whether the transfer results in a change of beneficial owner.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

40.4.15.11.32 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the financial instrument.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

40.4.15.12 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the product transfer.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

40.4.16 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

40.4.17 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C23 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

41 MX sese.014.001.09 PortfolioTransferCancellationRequestV09

41.1 MessageDefinition Functionality

Scope

The PortfolioTransferCancellationRequest message is sent by, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent PortfolioTransferInstruction message.

Usage

The PortfolioTransferCancellationRequest message is used to request the cancellation of a portfolio transfer instruction.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of a portfolio transfer instruction, the transfer reference of the portfolio transfer, as specified in the original PortfolioTransferInstruction message, is specified in the transfer reference element.

The message identification of the original PortfolioTransferInstruction message may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a PortfolioTransferCancellationRequest is made using an TransferCancellationStatusReport message.

Outline

The PortfolioTransferCancellationRequestV09 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageReference

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

F. TransferReferences

Reference of the portfolio transfer instruction to be cancelled.

G. MarketPracticeVersion

Identifies the market practice to which the message conforms.

41.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PrtlTrfCxlReq>	[1..1]			
	MessageReference <MsgRef>	[1..1]	±		768
	PoolReference <PoolRef>	[0..1]	±		768
	PreviousReference <PrvsRef>	[0..1]	±		768
	RelatedReference <RltdRef>	[0..1]	±		769
	MasterReference <MstrRef>	[0..1]	Text		769
	TransferReferences <TrfRefs>	[1..1]			769
	TransferReference <TrfRef>	[1..1]	Text		770
	ClientReference <ClntRef>	[0..1]	±		770
	CounterpartyReference <CtrPtyRef>	[0..1]	±		770
	TransferConfirmationReference <TrfConfRef>	[0..1]	Text		770
	CancellationReference <CxlRef>	[0..1]	Text		770
	CancellationReason <CxlRsn>	[0..1]	Text		771
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		771

41.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- Error severity: Fatal
- Error Code: D00008

- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

41.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

41.4.1 MessageReference <MsgRef>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageReference <MsgRef> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

41.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference11](#) on page 2001 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2001
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2002

41.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

41.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

41.4.5 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: [Max35Text](#) on page 3409

41.4.6 TransferReferences <TrfRefs>

Presence: [1..1]

Definition: Reference of the portfolio transfer instruction to be cancelled.

TransferReferences <TrfRefs> contains the following **TransferReference14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferReference <TrfRef>	[1..1]	Text		770
	ClientReference <ClntRef>	[0..1]	±		770
	CounterpartyReference <CtrPtyRef>	[0..1]	±		770
	TransferConfirmationReference <TrfConfRef>	[0..1]	Text		770
	CancellationReference <CxIRef>	[0..1]	Text		770
	CancellationReason <CxIRsn>	[0..1]	Text		771

41.4.6.1 TransferReference <TrfRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the portfolio transfer instruction, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

41.4.6.2 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the portfolio transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <CIntRef> contains the following elements (see [AdditionalReference10 on page 2002](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

41.4.6.3 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

Definition: Unambiguous identification of the portfolio transfer allocated by the counterparty.

CounterpartyReference <CtrPtyRef> contains the following elements (see [AdditionalReference10 on page 2002](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

41.4.6.4 TransferConfirmationReference <TrfConfRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the portfolio transfer execution, as assigned by the confirming party.

Datatype: [Max35Text on page 3409](#)

41.4.6.5 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the portfolio transfer cancellation, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

41.4.6.6 CancellationReason <CxlRsn>

Presence: [0..1]

Definition: Reason for the cancellation.

Datatype: [Max35Text on page 3409](#)

41.4.7 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1 on page 2452](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

42 MX sese.018.001.09 AccountHoldingInformationV09

42.1 MessageDefinition Functionality

Scope

The AccountHoldingInformation message is sent by an executing party, for example, a (old) plan manager (transferor), to the instructing party, for example, a (new) plan manager (transferee), to provide information about financial instruments held on behalf of a client.

Usage

The AccountHoldingInformation message is used to provide information on the individual assets held in a client's account. The assets may be part of a tax efficient product, a pension of general investment product.

Outline

The AccountHoldingInformationV09 MessageDefinition is composed of 17 MessageBuildingBlocks:

A. MessageReference

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. BusinessFlowDirectionType

Business flow direction (assets to be delivered or received).

F. PrimaryIndividualInvestor

Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

G. SecondaryIndividualInvestor

Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

H. OtherIndividualInvestor

Information identifying the other individual investors, for example, name, address, social security number and date of birth.

I. PrimaryCorporateInvestor

Information identifying the primary corporate investor, for example, name and address.

J. SecondaryCorporateInvestor

Information identifying the secondary corporate investor, for example, name and address.

K. OtherCorporateInvestor

Information identifying the other corporate investors, for example, name and address.

L. TransferorAccount

Identification of the account owned by the investor at the old plan manager (account servicer).

M. NomineeAccount

Account held in the name of a party that is not the name of the beneficial owner of the shares.

N. Transferee

Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

O. ProductTransfer

Information about the portfolio and assets.

P. MarketPracticeVersion

Identifies the market practice to which the message conforms.

Q. Extension

Additional information that can not be captured in the structured fields and/or any other specific block.

42.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctHldgInf>	[1..1]		C12, C13, C22, C23, C24	
	MessageReference <MsgRef>	[1..1]	±		788
	PoolReference <PoolRef>	[0..1]	±		788
	PreviousReference <PrvsRef>	[0..1]	±		788
	RelatedReference <RltdRef>	[0..1]	±		789
	BusinessFlowDirectionType <BizFlowDrctnTp>	[0..1]	CodeSet		789
	PrimaryIndividualInvestor <PmryIndvInvstr>	[0..1]	±	C35	789
	SecondaryIndividualInvestor <ScndryIndvInvstr>	[0..1]	±	C35	790
	OtherIndividualInvestor <OthrIndvInvstr>	[0..*]	±	C35	790
	PrimaryCorporateInvestor <PmryCorplInvstr>	[0..1]	±		791
	SecondaryCorporateInvestor <ScndryCorplInvstr>	[0..1]	±		791
	OtherCorporateInvestor <OthrCorplInvstr>	[0..*]	±		792
	TransferorAccount <TrfrAcct>	[1..1]	±		792
	NomineeAccount <NmneeAcct>	[0..1]	±		793
	Transferee <Trfee>	[1..1]	±		793
	ProductTransfer <PdctTrf>	[1..*]			793
	MasterReference <MstrRef>	[0..1]	Text		799
	TransferIdentification <TrfId>	[1..1]	Text		799
	TransferConfirmationIdentification <TrfConfId>	[0..1]	Text		799
	Portfolio <Prfl>	[0..1]			799
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]			803
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		805
	CurrentYear <CurYr>	[0..1]	Indicator		805
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		806
	PreviousYears <PrvsYrs>	[0..1]		C36	806
	PreviousYears <PrvsYrs>	[1..1]			806
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		807
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		807

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		807
	PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>	[0..1]	Amount	C1	807
	PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	807
	DateOfFirstSubscription <DtOfFrstSbcpt>	[0..1]	Date		808
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C39	808
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		808
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C1	809
	CashComponent <CshCmpnt>	[0..1]	Amount	C1	809
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C1	809
	BonusOrWithdrawal <BnsOrWdrwl>	[0..*]			810
	TypeOfAmount <TpOfAmt>	[1..1]			810
{Or	Code <Cd>	[1..1]	CodeSet		811
Or}	Proprietary <Prtry>	[1..1]	±		811
	Amount <Amt>	[0..1]	Amount	C2	811
	Reason <Rsn>	[0..1]			812
{Or	Code <Cd>	[1..1]	CodeSet		812
Or}	Proprietary <Prtry>	[1..1]	±		812
	UnclaimedAmount <UclmdAmt>	[0..1]	Amount	C2	812
	Outstanding <Outsdng>	[0..1]	Indicator		813
	Reference <Ref>	[0..1]	Text		813
	AdditionalInformation <AddtlInf>	[0..*]	±		813
	WithdrawalForResidentialPurchaseProgress <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		813
	TransferorAlternateIdentification <TrfrAltrnId>	[0..1]	Text		814
	TotalSubscriptionAmount <TtlSbcptAmt>	[0..1]	Amount	C1, C15	814
	OtherAmount <OthrAmt>	[0..*]			814
	Type <Tp>	[1..1]	±		815
	Amount <Amt>	[1..1]	Amount	C1, C15	815
	DateFirstQualifyingAddition <DtFrstQlfygAddtn>	[0..1]	Date		816
	InvestorTaxReference <InvstrTaxRef>	[0..1]			816
	Type <Tp>	[0..1]			816

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		816
Or}	Proprietary <Prtry>	[1..1]	±		817
	Reference <Ref>	[1..1]	Text		817
	InvestmentsToFollowValue <InvstmtsToFlwVal>	[0..*]	±		817
	InnovativeFinance <InnvtvFinc>	[0..*]			817
	Type <Tp>	[1..1]	±		817
	Information <Inf>	[1..1]	Text		818
	LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	818
	TaxCalculationBase <TaxClctnBase>	[0..1]	Amount	C1	818
	UnusedTaxDeduction <UusdTaxDdctn>	[0..1]	Amount	C1	819
	CurrentInvestmentAmount <CurInvstmtAmt>	[0..1]	Amount	C1	819
	EstimatedValue <EstmtdVal>	[0..1]	±		820
	AdditionalInformation <AddtlInf>	[0..*]	±		820
Or	GeneralInvestment <Gnllnvstmt>	[1..1]	±		820
Or}	Pension <Pnsn>	[1..1]		C9, C10, C30, C31, C32, C33, C37, C38, C41	821
	Identification <Id>	[0..1]			826
	Identifier <Idr>	[1..1]	Text		826
	SubIdentifier <Subldr>	[0..1]	Text		826
	AdditionalInformation <AddtlInf>	[0..1]	±		826
	Type <Tp>	[1..1]			826
{Or	Code <Cd>	[1..1]	CodeSet		827
Or}	Proprietary <Prtry>	[1..1]	±		828
	TransferScope <TrfScp>	[0..1]	±		828
	TaxReference <TaxRef>	[0..*]	±		828
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		829
	DrawdownStatus <DrwdwnSts>	[0..1]	±		829
	DrawdownType <DrwdwnTp>	[0..1]	±		829
	NumberOfDrawdownTranches <NbOfDrwdwnTrnchs>	[0..1]	Quantity		829

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	EstimatedValue <EstmtdVal>	[0..1]	±		830
	BlockTransfer <BlckTrf>	[0..1]	Indicator		830
	BlockTransferReference <BlckTrfRef>	[0..1]	Text		830
	TaxFreeCashProtection <TaxFreeCshPrtcn>	[0..1]	Indicator		830
	TaxFreeCashAmount <TaxFreeCshAmt>	[0..1]	±		830
	ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		831
	RetirementAgeProtection <RtrmntAgePrtcn>	[0..1]	Indicator		831
	RetirementAge <RtrmntAge>	[0..1]	Quantity		831
	Sharing <Shrg>	[0..1]	Indicator		831
	LumpSumType <LumpSumTp>	[0..*]	±		831
	PensionOrder <PnsnOrdr>	[0..*]	±		832
	RingFencedDrawdownAssets <RingFncdDrwdwnAssts>	[0..1]	Indicator		832
	MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>	[0..1]	±		832
	SafeguardBenefit <SfgrdBnft>	[0..1]	Indicator		832
	NonSafeguardedGuaranteedBenefits <NonSfgrddGrntedBnfts>	[0..1]	Indicator		833
	LifetimeAllowanceProtection <LftmAllwncPrtcn>	[0..1]	Indicator		833
	ClientLifetimeAllowanceProtection <ClntLftmAllwncPrtcn>	[0..1]	Indicator		833
	BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		833
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		833
	AdditionalInformation <AddtlInf>	[0..*]	±		834
	PartialDiscovery <PrtlDscvry>	[0..1]	Indicator		834
	ResidualCash <RsdCsh>	[0..*]	±		834
	TaxDate <TaxDt>	[0..1]	Date		834
	FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>	[0..*]		C7, C8	834
	LineIdentification <LineId>	[0..1]	Text		836
	Instrument <Instrm>	[1..1]			836
{Or	Security <Scty>	[1..1]	±	C20	836
Or	CashAsset <CshAsst>	[1..1]	±		837
Or}	OtherAsset <OthrAsst>	[1..1]	±		837
	Quantity <Qty>	[0..1]	±		838

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsDetails <UnitsDtls>	[0..*]	±		838
	ClientReference <ClntRef>	[0..1]	±		839
	CounterpartyReference <CtrPtyRef>	[0..1]	±		840
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		840
	AverageAcquisitionPrice <AvrgAcqstnPric>	[0..1]	Amount	C2, C16	840
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	841
	TotalBookValue <TtlBookVal>	[0..1]	±		841
	LatestValuation <LatstValtn>	[0..1]	±		842
	OriginalCost <OrgnlCost>	[0..1]	Amount	C1	842
	TransfereeAccount <TrfeeAcct>	[0..1]	±		842
	Transferor <Trfr>	[0..*]	±		843
	IntermediaryInformation <IntrmyInf>	[0..*]	±		843
	CrystallisationDetails <CrstllstnDtls>	[0..*]	±		844
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		844
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..*]	±		845
	AssetsHeldInOwnName <AsstsHeldInOwnNm>	[0..1]	Indicator		845
	TransferResultsInChangeOfBeneficialOwner <TrfRsltsInChngOfBnfcIwnr>	[0..1]	Indicator		845
	AdditionalInformation <AddtlInf>	[0..*]	±		845
	AdditionalInformation <AddtlInf>	[0..*]	±		846
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		846
	Extension <Xtnsn>	[0..*]	±	C19	846

42.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AdditonalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C4 AdditonalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C5 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 AppliedAmountRule

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

C7 AssetQuantity1Guideline

(Rule)

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C8 AssetQuantity2Guideline

(Rule)

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C9 BlockTransferRetirementAgeProtectionRule

(Rule)

If BlockTransfer is "false" or "0" (No), then RetirementAgeProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then RetirementAgeProtection may be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00457
- *Error Text:* RetirementAgeProtection is not allowed.

C10 BlockTransferTaxFreeCashProtectionRule

(Rule)

If BlockTransfer is "false" or "0" (No), then TaxFreeCashProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then TaxFreeCashProtection may be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00458
- *Error Text:* TaxFreeCashProtection is not allowed.

C11 BookTransferGuideline

(Rule)

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on www.smpg.info.

C12 Corporate1Rule

(Rule)

If PrimaryCorporateInvestor is not present, then SecondaryCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then SecondaryCorporateInvestor may be present.
(CrossElementComplexRule)

```
On Condition
  /PrimaryCorporateInvestor is absent
Following Must be True
  /SecondaryCorporateInvestor Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00455
- *Error Text:* SecondaryCorporateInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C13 Corporate2Rule

(Rule)

If PrimaryCorporateInvestor is not present, then OtherCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then OtherCorporateInvestor may be present. (CrossElementComplexRule)

```
On Condition
  /PrimaryCorporateInvestor is absent
Following Must be True
  /OtherCorporateInvestor[*] Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00456
- *Error Text:* OtherCorporateInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C14 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C15 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C16 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C17 DepositoryGuideline

(Rule)

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on www.smpg.info.

C18 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C19 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C20 IdentificationGuideline

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C21 IdentificationGuideline

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C22 Investor1Rule

(Rule)

If PrimaryIndividualInvestor is not present, then SecondaryIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then SecondaryIndividualInvestor may be present.
(CrossElementComplexRule)

```
On Condition
  /PrimaryIndividualInvestor is absent
Following Must be True
  /SecondaryIndividualInvestor Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00454
- *Error Text:* SecondaryIndividualInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C23 Investor2Rule

(Rule)

If PrimaryIndividualInvestor is not present, then OtherIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then OtherIndividualInvestor may be present. (CrossElementComplexRule)

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/OtherIndividualInvestor[*] Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00427
- *Error Text:* OtherIndividualInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C24 NomineeAccountServicerRule

(Rule)

NomineeAccount/Servicer must be present when and only when different from TransferorAccount/Servicer.

This constraint is defined at the MessageDefinition level.

C25 NonStandardSLAReferenceRule

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C26 Party2PresenceRule

(Rule)

If Party2 is present, then Party1 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00128
- *Error Text:* Party1 must be present.

C27 Party3PresenceRule

(Rule)

If Party3 is present, then Party2 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00129

- *Error Text:* Party2 must be present.

C28 Party4PresenceRule

(Rule)

If Party4 is present, then Party3 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00130
- *Error Text:* Party3 must be present.

C29 Party5PresenceRule

(Rule)

If Party5 is present, then Party4 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00131
- *Error Text:* Party4 must be present.

C30 PensionOrderTypeGuideline

(Rule)

A pension policy, plan or scheme cannot have both an earmark and a sharing order.

If PensionOrder/Type/Code/SHAR is present, then PensionOrder/Type/Code/EARM is not allowed.

If PensionOrder/Type/Code/EARM is present, then PensionOrder/Type/Code/SHAR is not allowed.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C31 RetirementAgeRule

(Rule)

If RetirementAgeProtection is "false" or "0" (No), then RetirementAge is not allowed.

If RetirementAgeProtection is "true" or "1" (Yes), then RetirementAge may be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00459
- *Error Text:* RetirementAge is not allowed.

C32 RingFencedDrawdownAssets1Rule

(Rule)

If DrawdownStatus/Code/NONE (None) is present, then RingFencedDrawdownAssets is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00460
- *Error Text:* RingFencedDrawdownAssets is not allowed.

C33 RingFencedDrawdownAssets2Rule

(Rule)

If DrawdownStatus/Code/PART (Partial) or FULL (Full) is present, then RingFencedDrawdownAssets must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00461
- *Error Text:* RingFencedDrawdownAssets must be present.

C34 SettlementChainGuideline

(Rule)

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on www.smpg.info.

C35 SocialSecurityNumberGuideline

(Rule)

The UK Insurance Number must be indicated without spaces.

C36 SpecificPreviousYearsGuideline

(Rule)

SpecificPreviousYears must not contain the current year.

C37 TaxFreeCashAmountRule

(Rule)

If TaxFreeCashProtection is "false" or "0" (No), then TaxFreeCashAmount is not allowed.

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount may be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00439
- *Error Text:* TaxFreeCashAmount is not allowed.

C38 TaxFreeCashAndValueRule

(Rule)

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

If TaxFreeCashProtection is "false" or "0" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme may be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00462
- *Error Text:* TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

C39 TotalAmountYearToDateRule

(Rule)

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

C40 TransactionOverheadElementRule

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C41 TransferScopeTrancheIdentification1Rule

(Rule)

If TransferScope/Code/SDDT (DrawdownTranche) is not present, then DrawdownTrancheIdentification is not allowed.

If TransferScope/Code/SDDT (DrawdownTranche) is present, then DrawdownTrancheIdentification may be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00463

– *Error Text:* DrawdownTrancheldidentification is not allowed.

42.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

42.4.1 MessageReference <MsgRef>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageReference <MsgRef> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

42.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference11](#) on page 2001 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2001
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2002

42.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

42.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefLssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

42.4.5 BusinessFlowDirectionType <BizFlowDrctnTp>

Presence: [0..1]

Definition: Business flow direction (assets to be delivered or received).

Datatype: [BusinessFlowDirectionType1Code](#) on page 3250

CodeName	Name	Definition
ADLV	AssetstoBeDelivered	Assets to be delivered.
ARCV	AssetsToBeReceived	Assets to be received.

42.4.6 PrimaryIndividualInvestor <PmryIndvInvstr>

Presence: [0..1]

Definition: Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

Impacted by: [C35 SocialSecurityNumberGuideline](#)

PrimaryIndividualInvestor <PmryIndvInvstr> contains the following elements (see [IndividualPerson8](#) on page 2811 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2811
	GivenName <GvnNm>	[1..1]	Text		2811
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2811
	NameSuffix <NmSfx>	[0..1]	Text		2812
	Gender <Gndr>	[0..1]	CodeSet		2812
	BirthDate <BirthDt>	[0..1]	Date		2812
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2812
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2812

Constraints

- **SocialSecurityNumberGuideline**

(Rule)

The UK Insurance Number must be indicated without spaces.

42.4.7 SecondaryIndividualInvestor <ScndryIndvInvstr>

Presence: [0..1]

Definition: Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

Impacted by: [C35 SocialSecurityNumberGuideline](#)

SecondaryIndividualInvestor <ScndryIndvInvstr> contains the following elements (see [IndividualPerson8](#) on page 2811 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2811
	GivenName <GvnNm>	[1..1]	Text		2811
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2811
	NameSuffix <NmSfx>	[0..1]	Text		2812
	Gender <Gndr>	[0..1]	CodeSet		2812
	BirthDate <BirthDt>	[0..1]	Date		2812
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2812
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2812

Constraints

- **SocialSecurityNumberGuideline**

(Rule)

The UK Insurance Number must be indicated without spaces.

42.4.8 OtherIndividualInvestor <OthrIndvInvstr>

Presence: [0..*]

Definition: Information identifying the other individual investors, for example, name, address, social security number and date of birth.

Impacted by: [C35 SocialSecurityNumberGuideline](#)

OtherIndividualInvestor <OthrIndvInvstr> contains the following elements (see [IndividualPerson8](#) on page 2811 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2811
	GivenName <GvnNm>	[1..1]	Text		2811
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2811
	NameSuffix <NmSfx>	[0..1]	Text		2812
	Gender <Gndr>	[0..1]	CodeSet		2812
	BirthDate <BirthDt>	[0..1]	Date		2812
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2812
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2812

Constraints

- **SocialSecurityNumberGuideline**

(Rule)

The UK Insurance Number must be indicated without spaces.

42.4.9 PrimaryCorporateInvestor <PmryCorplnvstr>

Presence: [0..1]

Definition: Information identifying the primary corporate investor, for example, name and address.

PrimaryCorporateInvestor <PmryCorplnvstr> contains the following elements (see [Organisation36](#) on page 2490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2490
	Identification <Id>	[0..1]	±		2490
	Purpose <Purp>	[0..1]	Text		2490
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	2490
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2491
	RegistrationDate <RegnDt>	[0..1]	Date		2491
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		2491
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		2491
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		2492

42.4.10 SecondaryCorporateInvestor <ScndryCorplnvstr>

Presence: [0..1]

Definition: Information identifying the secondary corporate investor, for example, name and address.

SecondaryCorporateInvestor <ScndryCorplnvstr> contains the following elements (see [Organisation36](#) on page 2490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2490
	Identification <Id>	[0..1]	±		2490
	Purpose <Purp>	[0..1]	Text		2490
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	2490
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2491
	RegistrationDate <RegnDt>	[0..1]	Date		2491
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		2491
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		2491
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		2492

42.4.11 OtherCorporateInvestor <OthrCorplnvstr>

Presence: [0..*]

Definition: Information identifying the other corporate investors, for example, name and address.

OtherCorporateInvestor <OthrCorplnvstr> contains the following elements (see [Organisation36](#) on page 2490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2490
	Identification <Id>	[0..1]	±		2490
	Purpose <Purp>	[0..1]	Text		2490
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	2490
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2491
	RegistrationDate <RegnDt>	[0..1]	Date		2491
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		2491
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		2491
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		2492

42.4.12 TransferorAccount <TrfrAcct>

Presence: [1..1]

Definition: Identification of the account owned by the investor at the old plan manager (account servicer).

TransferorAccount <TrfrAcct> contains the following elements (see [InvestmentAccount69](#) on page 1594 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1594
	Designation <Dsgnt>	[0..1]	Text		1594
	AccountName <AcctNm>	[0..1]	Text		1595
	Servicer <Svcr>	[0..1]	±		1595

42.4.13 NomineeAccount <NmneeAcct>

Presence: [0..1]

Definition: Account held in the name of a party that is not the name of the beneficial owner of the shares.

NomineeAccount <NmneeAcct> contains the following elements (see [InvestmentAccount69](#) on page 1594 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1594
	Designation <Dsgnt>	[0..1]	Text		1594
	AccountName <AcctNm>	[0..1]	Text		1595
	Servicer <Svcr>	[0..1]	±		1595

42.4.14 Transferee <Trfee>

Presence: [1..1]

Definition: Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

Transferee <Trfee> contains the following elements (see [PartyIdentification132](#) on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

42.4.15 ProductTransfer <PdctTrf>

Presence: [1..*]

Definition: Information about the portfolio and assets.

ProductTransfer <PdctTrf> contains the following **PortfolioTransfer9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		799
	TransferIdentification <TrfId>	[1..1]	Text		799
	TransferConfirmationIdentification <TrfConfId>	[0..1]	Text		799
	Portfolio <Prfl>	[0..1]			799
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]			803
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		805
	CurrentYear <CurYr>	[0..1]	Indicator		805
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		806
	PreviousYears <PrvsYrs>	[0..1]		C36	806
	PreviousYears <PrvsYrs>	[1..1]			806
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		807
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		807
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		807
	PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>	[0..1]	Amount	C1	807
	PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	807
	DateOfFirstSubscription <DtOfFrstSbcpt>	[0..1]	Date		808
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C39	808
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		808
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C1	809
	CashComponent <CshCmpnt>	[0..1]	Amount	C1	809
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C1	809
	BonusOrWithdrawal <BnsOrWdrwl>	[0..*]			810
	TypeOfAmount <TpOfAmt>	[1..1]			810
{Or	Code <Cd>	[1..1]	CodeSet		811
Or}	Proprietary <Prtry>	[1..1]	±		811
	Amount <Amt>	[0..1]	Amount	C2	811
	Reason <Rsn>	[0..1]			812
{Or	Code <Cd>	[1..1]	CodeSet		812
Or}	Proprietary <Prtry>	[1..1]	±		812
	UnclaimedAmount <UclmdAmt>	[0..1]	Amount	C2	812

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Outstanding <Outsdng>	[0..1]	Indicator		813
	Reference <Ref>	[0..1]	Text		813
	AdditionalInformation <AddtlInf>	[0..*]	±		813
	WithdrawalForResidentialPurchaseProgress <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		813
	TransferorAlternateIdentification <TrfrAltrnld>	[0..1]	Text		814
	TotalSubscriptionAmount <TtlSbcptAmt>	[0..1]	Amount	C1, C15	814
	OtherAmount <OthrAmt>	[0..*]			814
	Type <Tp>	[1..1]	±		815
	Amount <Amt>	[1..1]	Amount	C1, C15	815
	DateFirstQualifyingAddition <DtFrstQlfygAddtn>	[0..1]	Date		816
	InvestorTaxReference <InvstrTaxRef>	[0..1]			816
	Type <Tp>	[0..1]			816
{Or	Code <Cd>	[1..1]	CodeSet		816
Or}	Proprietary <Prtry>	[1..1]	±		817
	Reference <Ref>	[1..1]	Text		817
	InvestmentsToFollowValue <InvstmtsToFlwVal>	[0..*]	±		817
	InnovativeFinance <Innvtfinc>	[0..*]			817
	Type <Tp>	[1..1]	±		817
	Information <Inf>	[1..1]	Text		818
	LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	818
	TaxCalculationBase <TaxClctnBase>	[0..1]	Amount	C1	818
	UnusedTaxDeduction <UusdTaxDdctn>	[0..1]	Amount	C1	819
	CurrentInvestmentAmount <CurInvstmtAmt>	[0..1]	Amount	C1	819
	EstimatedValue <EstmtdVal>	[0..1]	±		820
	AdditionalInformation <AddtlInf>	[0..*]	±		820
Or	GeneralInvestment <Gnllnvstmt>	[1..1]	±		820
Or}	Pension <Pnsn>	[1..1]		C9, C10, C30, C31, C32, C33, C37,	821

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
				C38, C41	
	Identification <Id>	[0..1]			826
	Identifier <Idr>	[1..1]	Text		826
	SubIdentifier <Subldr>	[0..1]	Text		826
	AdditionalInformation <AddtlInf>	[0..1]	±		826
	Type <Tp>	[1..1]			826
{Or	Code <Cd>	[1..1]	CodeSet		827
Or}	Proprietary <Prtry>	[1..1]	±		828
	TransferScope <TrfScp>	[0..1]	±		828
	TaxReference <TaxRef>	[0..*]	±		828
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		829
	DrawdownStatus <DrwdwnSts>	[0..1]	±		829
	DrawdownType <DrwdwnTp>	[0..1]	±		829
	NumberOfDrawdownTranches <NbOfDrwdwnTrnchs>	[0..1]	Quantity		829
	EstimatedValue <EstmtdVal>	[0..1]	±		830
	BlockTransfer <BlckTrf>	[0..1]	Indicator		830
	BlockTransferReference <BlckTrfRef>	[0..1]	Text		830
	TaxFreeCashProtection <TaxFreeCshPrctn>	[0..1]	Indicator		830
	TaxFreeCashAmount <TaxFreeCshAmt>	[0..1]	±		830
	ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlyOrPlanOrSchme>	[0..1]	±		831
	RetirementAgeProtection <RtrmntAgePrctn>	[0..1]	Indicator		831
	RetirementAge <RtrmntAge>	[0..1]	Quantity		831
	Sharing <Shrg>	[0..1]	Indicator		831
	LumpSumType <LumpSumTp>	[0..*]	±		831
	PensionOrder <PnsnOrdr>	[0..*]	±		832
	RingFencedDrawdownAssets <RingFncdDrwdwnAssts>	[0..1]	Indicator		832
	MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>	[0..1]	±		832
	SafeguardBenefit <SfgrdBnft>	[0..1]	Indicator		832
	NonSafeguardedGuaranteedBenefits <NonSfgrddGrntedBnfts>	[0..1]	Indicator		833

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LifetimeAllowanceProtection <LfmAllwncPrtcn>	[0..1]	Indicator		833
	ClientLifetimeAllowanceProtection <ClntLfmAllwncPrtcn>	[0..1]	Indicator		833
	BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		833
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		833
	AdditionalInformation <AddtlInf>	[0..*]	±		834
	PartialDiscovery <PrtlDscvry>	[0..1]	Indicator		834
	ResidualCash <RsdlCsh>	[0..*]	±		834
	TaxDate <TaxDt>	[0..1]	Date		834
	FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>	[0..*]		C7, C8	834
	LineIdentification <LineId>	[0..1]	Text		836
	Instrument <Instrm>	[1..1]			836
{Or	Security <Scty>	[1..1]	±	C20	836
Or	CashAsset <CshAsst>	[1..1]	±		837
Or}	OtherAsset <OthrAsst>	[1..1]	±		837
	Quantity <Qty>	[0..1]	±		838
	UnitsDetails <UnitsDtls>	[0..*]	±		838
	ClientReference <ClntRef>	[0..1]	±		839
	CounterpartyReference <CtrPtyRef>	[0..1]	±		840
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		840
	AverageAcquisitionPrice <AvrgAcqstnPric>	[0..1]	Amount	C2, C16	840
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	841
	TotalBookValue <TtlBookVal>	[0..1]	±		841
	LatestValuation <LatstValtn>	[0..1]	±		842
	OriginalCost <OrgnlCost>	[0..1]	Amount	C1	842
	TransfereeAccount <TrfeeAcct>	[0..1]	±		842
	Transferor <Trfr>	[0..*]	±		843
	IntermediaryInformation <IntrmyInf>	[0..*]	±		843
	CrystallisationDetails <CrstllstnDtls>	[0..*]	±		844
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		844
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..*]	±		845

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AssetsHeldInOwnName <AsstsHeldInOwnNm>	[0..1]	Indicator		845
	TransferResultsInChangeOfBeneficialOwner <TrfRsItsInChngOfBnfclOwnr>	[0..1]	Indicator		845
	AdditionalInformation <AddtlInf>	[0..*]	±		845
	AdditionalInformation <AddtlInf>	[0..*]	±		846

42.4.15.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: Max35Text on page 3409

42.4.15.2 TransferIdentification <Trfld>

Presence: [1..1]

Definition: Identification assigned to the transfer of assets.

Datatype: Max35Text on page 3409

42.4.15.3 TransferConfirmationIdentification <TrfConfld>

Presence: [0..1]

Definition: Identification of the confirmation assigned by the transferor to the transfer.

Datatype: Max35Text on page 3409

42.4.15.4 Portfolio <Prftl>

Presence: [0..1]

Definition: Choice of tax efficient product, general investment or pension.

Portfolio <Prfl> contains one of the following **FundPortfolio7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]			803
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		805
	CurrentYear <CurYr>	[0..1]	Indicator		805
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		806
	PreviousYears <PrvsYrs>	[0..1]		C36	806
	PreviousYears <PrvsYrs>	[1..1]			806
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		807
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		807
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		807
	PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>	[0..1]	Amount	C1	807
	PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	807
	DateOfFirstSubscription <DtOfFrstSbcpt>	[0..1]	Date		808
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C39	808
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		808
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C1	809
	CashComponent <CshCmpnt>	[0..1]	Amount	C1	809
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C1	809
	BonusOrWithdrawal <BnsOrWdrwl>	[0..*]			810
	TypeOfAmount <TpOfAmt>	[1..1]			810
{Or	Code <Cd>	[1..1]	CodeSet		811
Or}	Proprietary <Prtry>	[1..1]	±		811
	Amount <Amt>	[0..1]	Amount	C2	811
	Reason <Rsn>	[0..1]			812
{Or	Code <Cd>	[1..1]	CodeSet		812
Or}	Proprietary <Prtry>	[1..1]	±		812
	UnclaimedAmount <UclmdAmt>	[0..1]	Amount	C2	812
	Outstanding <Outsdng>	[0..1]	Indicator		813
	Reference <Ref>	[0..1]	Text		813
	AdditionalInformation <AddtlInf>	[0..*]	±		813

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	WithdrawalForResidentialPurchaseProgress <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		813
	TransferorAlternateIdentification <TrfrAltrnld>	[0..1]	Text		814
	TotalSubscriptionAmount <TtlSbcptAmt>	[0..1]	Amount	C1, C15	814
	OtherAmount <OthrAmt>	[0..*]			814
	Type <Tp>	[1..1]	±		815
	Amount <Amt>	[1..1]	Amount	C1, C15	815
	DateFirstQualifyingAddition <DtFrstQllygAddtn>	[0..1]	Date		816
	InvestorTaxReference <InvstrTaxRef>	[0..1]			816
	Type <Tp>	[0..1]			816
{Or	Code <Cd>	[1..1]	CodeSet		816
Or}	Proprietary <Prtry>	[1..1]	±		817
	Reference <Ref>	[1..1]	Text		817
	InvestmentsToFollowValue <InvstmtsToFlwVal>	[0..*]	±		817
	InnovativeFinance <InnvtvFinc>	[0..*]			817
	Type <Tp>	[1..1]	±		817
	Information <Inf>	[1..1]	Text		818
	LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	818
	TaxCalculationBase <TaxClctnBase>	[0..1]	Amount	C1	818
	UnusedTaxDeduction <UusdTaxDdctn>	[0..1]	Amount	C1	819
	CurrentInvestmentAmount <CurInvstmtAmt>	[0..1]	Amount	C1	819
	EstimatedValue <EstmtdVal>	[0..1]	±		820
	AdditionalInformation <AddtlInf>	[0..*]	±		820
Or	GeneralInvestment <GnlInvstmt>	[1..1]	±		820
Or}	Pension <Pnsn>	[1..1]		C9, C10, C30, C31, C32, C33, C37, C38, C41	821
	Identification <Id>	[0..1]			826
	Identifier <Id>	[1..1]	Text		826

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SubIdentifier <Subldr>	[0..1]	Text		826
	AdditionalInformation <AddtlInf>	[0..1]	±		826
	Type <Tp>	[1..1]			826
{Or	Code <Cd>	[1..1]	CodeSet		827
Or}	Proprietary <Prtry>	[1..1]	±		828
	TransferScope <TrfScp>	[0..1]	±		828
	TaxReference <TaxRef>	[0..*]	±		828
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		829
	DrawdownStatus <DrwdwnSts>	[0..1]	±		829
	DrawdownType <DrwdwnTp>	[0..1]	±		829
	NumberOfDrawdownTranches <NbOfDrwdwnTrnchs>	[0..1]	Quantity		829
	EstimatedValue <EstmtdVal>	[0..1]	±		830
	BlockTransfer <BlckTrf>	[0..1]	Indicator		830
	BlockTransferReference <BlckTrfRef>	[0..1]	Text		830
	TaxFreeCashProtection <TaxFreeCshPrtcn>	[0..1]	Indicator		830
	TaxFreeCashAmount <TaxFreeCshAmt>	[0..1]	±		830
	ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlyOrPlanOrSchme>	[0..1]	±		831
	RetirementAgeProtection <RtrmntAgePrtcn>	[0..1]	Indicator		831
	RetirementAge <RtrmntAge>	[0..1]	Quantity		831
	Sharing <Shrg>	[0..1]	Indicator		831
	LumpSumType <LumpSumTp>	[0..*]	±		831
	PensionOrder <PnsnOrdr>	[0..*]	±		832
	RingFencedDrawdownAssets <RingFncdDrwdwnAssts>	[0..1]	Indicator		832
	MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>	[0..1]	±		832
	SafeguardBenefit <SfgrdBnft>	[0..1]	Indicator		832
	NonSafeguardedGuaranteedBenefits <NonSfgrddGrntedBnfts>	[0..1]	Indicator		833
	LifetimeAllowanceProtection <LftmAllwncPrtcn>	[0..1]	Indicator		833
	ClientLifetimeAllowanceProtection <ClntLftmAllwncPrtcn>	[0..1]	Indicator		833
	BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		833

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		833
	AdditionalInformation <AddtlInf>	[0..*]	±		834

42.4.15.4.1 TaxEfficientProduct <TaxEffcntPdct>

Presence: [1..1]

Definition: Portfolio is a government scheme to encourage investment in securities based unit and investment trusts, offering certain tax benefits. These are not investments in their own right but are tax exempt 'wrappers' in which equities, bonds and funds can be held to shelter them from various types of tax.

In the UK, a typical tax wrapper product is known as an 'ISA' (Individual Savings Account).

TaxEfficientProduct <TaxEffcntPdct> contains the following **TaxEfficientProduct7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		805
	CurrentYear <CurYr>	[0..1]	Indicator		805
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		806
	PreviousYears <PrvsYrs>	[0..1]		C36	806
	PreviousYears <PrvsYrs>	[1..1]			806
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		807
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		807
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		807
	PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>	[0..1]	Amount	C1	807
	PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	807
	DateOfFirstSubscription <DtOfFrstSbcpt>	[0..1]	Date		808
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C39	808
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		808
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C1	809
	CashComponent <CshCmpnt>	[0..1]	Amount	C1	809
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C1	809
	BonusOrWithdrawal <BnsOrWdrwl>	[0..*]			810
	TypeOfAmount <TpOfAmt>	[1..1]			810
{Or	Code <Cd>	[1..1]	CodeSet		811
Or}	Proprietary <Prtry>	[1..1]	±		811
	Amount <Amt>	[0..1]	Amount	C2	811
	Reason <Rsn>	[0..1]			812
{Or	Code <Cd>	[1..1]	CodeSet		812
Or}	Proprietary <Prtry>	[1..1]	±		812
	UnclaimedAmount <UclmdAmt>	[0..1]	Amount	C2	812
	Outstanding <Outsdng>	[0..1]	Indicator		813
	Reference <Ref>	[0..1]	Text		813
	AdditionalInformation <AddtlInf>	[0..*]	±		813
	WithdrawalForResidentialPurchaseProgress <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		813
	TransferorAlternateIdentification <TrfrAltrnld>	[0..1]	Text		814

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalSubscriptionAmount <TtSbcptAmt>	[0..1]	Amount	C1, C15	814
	OtherAmount <OthrAmt>	[0..*]			814
	Type <Tp>	[1..1]	±		815
	Amount <Amt>	[1..1]	Amount	C1, C15	815
	DateFirstQualifyingAddition <DtFrstQlfygAddtn>	[0..1]	Date		816
	InvestorTaxReference <InvstrTaxRef>	[0..1]			816
	Type <Tp>	[0..1]			816
{Or	Code <Cd>	[1..1]	CodeSet		816
Or}	Proprietary <Prtry>	[1..1]	±		817
	Reference <Ref>	[1..1]	Text		817
	InvestmentsToFollowValue <InvstmtsToFlwVal>	[0..*]	±		817
	InnovativeFinance <Innvtfinc>	[0..*]			817
	Type <Tp>	[1..1]	±		817
	Information <Inf>	[1..1]	Text		818
	LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	818
	TaxCalculationBase <TaxClctnBase>	[0..1]	Amount	C1	818
	UnusedTaxDeduction <UusdTaxDdctn>	[0..1]	Amount	C1	819
	CurrentInvestmentAmount <CurInvstmtAmt>	[0..1]	Amount	C1	819
	EstimatedValue <EstmtdVal>	[0..1]	±		820
	AdditionalInformation <AddtlInf>	[0..*]	±		820

42.4.15.4.1.1 TaxEfficientProductType <TaxEffcntPdctTp>

Presence: [1..1]

Definition: Type of tax efficient product, for example, an individual savings account (ISA) in the UK.

TaxEfficientProductType <TaxEffcntPdctTp> contains one of the following elements (see [TaxEfficientProductType2Choice](#) on page 1873 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1873
Or}	Proprietary <Prtry>	[1..1]	±		1874

42.4.15.4.1.2 CurrentYear <CurYr>

Presence: [0..1]

Definition: Indicates that all the current fiscal year's products are included.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.1.3 CashComponentIndicator <CshCmpntInd>

Presence: [0..1]

Definition: Indicates whether, for the current year, the product contains a cash asset for transfer.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.1.4 PreviousYears <PrvsYrs>

Presence: [0..1]

Definition: Investment plans issued during previous years.

Impacted by: [C36 SpecificPreviousYearsGuideline](#)

PreviousYears <PrvsYrs> contains the following **PreviousYear4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PreviousYears <PrvsYrs>	[1..1]			806
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		807
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		807
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		807

Constraints

- **SpecificPreviousYearsGuideline**

(Rule)

SpecificPreviousYears must not contain the current year.

42.4.15.4.1.4.1 PreviousYears <PrvsYrs>

Presence: [1..1]

Definition: Investment plans issued during previous years.

PreviousYears <PrvsYrs> contains one of the following **PreviousYear1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		807
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		807

42.4.15.4.1.4.1.1 AllPreviousYears <AllPrvsYrs>

Presence: [1..1]

Definition: Selection of all investment plans.

Datatype: PreviousAll on page 3410

42.4.15.4.1.4.1.2 SpecificPreviousYears <SpfcPrvsYrs>

Presence: [1..*]

Definition: Selection of investment plans issued during previous years.

Datatype: ISOYear on page 3411

42.4.15.4.1.4.2 CashComponentIndicator <CshCmpntInd>

Presence: [0..1]

Definition: Indicates whether the product contains a cash asset for transfer from previous years.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.1.5 PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>

Presence: [0..1]

Definition: Subscriptions from the previous subscription year.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

42.4.15.4.1.6 PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>

Presence: [0..1]

Definition: Amount subscribed in all previous years.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

42.4.15.4.1.7 DateOfFirstSubscription <DtOfFrstSbcpt>

Presence: [0..1]

Definition: Date the investment plan started.

Datatype: ISODate on page 3391

42.4.15.4.1.8 CurrentYearSubscriptionDetails <CurYrSbcptDtls>

Presence: [0..1]

Definition: Amounts already subscribed for the current year.

Impacted by: C39 TotalAmountYearToDateRule

CurrentYearSubscriptionDetails <CurYrSbcptDtls> contains the following **SubscriptionInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		808
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C1	809
	CashComponent <CshCmpnt>	[0..1]	Amount	C1	809
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C1	809

Constraints

- **TotalAmountYearToDateRule**

(Rule)

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

42.4.15.4.1.8.1 DateOfFirstSubscription <DtOfFrstSbcpt>

Presence: [1..1]

Definition: Date of the first subscription in the current year.

Datatype: ISODate on page 3391

42.4.15.4.1.8.2 EquityComponent <EqtyCmpnt>

Presence: [0..1]

Definition: Amount subscribed in the current tax year into equities (not including dividends).

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

42.4.15.4.1.8.3 CashComponent <CshCmpnt>

Presence: [0..1]

Definition: Amount subscribed in the current tax year into cash.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

42.4.15.4.1.8.4 TotalAmountYearToDate <TtlAmtYrToDt>

Presence: [1..1]

Definition: Total amount subscribed in the current tax year.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

42.4.15.4.1.9 BonusOrWithdrawal <BnsOrWdrwl>

Presence: [0..*]

Definition: Bonus paid out or withdrawn.

BonusOrWithdrawal <BnsOrWdrwl> contains the following **BonusWithdrawal2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TypeOfAmount <TpOfAmt>	[1..1]			810
{Or	Code <Cd>	[1..1]	CodeSet		811
Or}	Proprietary <Prtry>	[1..1]	±		811
	Amount <Amt>	[0..1]	Amount	C2	811
	Reason <Rsn>	[0..1]			812
{Or	Code <Cd>	[1..1]	CodeSet		812
Or}	Proprietary <Prtry>	[1..1]	±		812
	UnclaimedAmount <UclmdAmt>	[0..1]	Amount	C2	812
	Outstanding <Outsdng>	[0..1]	Indicator		813
	Reference <Ref>	[0..1]	Text		813
	AdditionalInformation <AddtlInf>	[0..*]	±		813

42.4.15.4.1.9.1 TypeOfAmount <TpOfAmt>

Presence: [1..1]

Definition: Specifies whether the amount is the result of a bonus paid, a withdrawal or other kind of amount.

TypeOfAmount <TpOfAmt> contains one of the following **TypeOfAmount1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		811
Or}	Proprietary <Prtry>	[1..1]	±		811

42.4.15.4.1.9.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of amount expressed as a code.

Datatype: [TaxWrapperAmountType1Code](#) on page 3377

CodeName	Name	Definition
BONU	Bonus	Type of amount is a bonus, for example, a government bonus.
WTHD	Withdrawal	Type of amount is a withdrawal, for example, a withdrawal for a first time residential purchase.

42.4.15.4.1.9.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of amount expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

42.4.15.4.1.9.2 Amount <Amt>

Presence: [0..1]

Definition: Amount of the bonus paid or the claimed amount. For example, a claimed amount for a lifetime ISA (LISA) or a government bonus paid out.

Impacted by: [C2 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyAnd13DecimalAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

42.4.15.4.1.9.3 Reason <Rsn>

Presence: [0..1]

Definition: Reason for the bonus amount paid to or an amount withdrawn from the investment product.

Reason <Rsn> contains one of the following **WithdrawalReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		812
Or}	Proprietary <Prtry>	[1..1]	±		812

42.4.15.4.1.9.3.1 Code <Cd>

Presence: [1..1]

Definition: Withdrawal reason expressed as a code.

Datatype: PortfolioWithdrawalReason1Code on page 3329

CodeName	Name	Definition
FTRS	FirstTimeResidentialProperty	Withdrawal is for a first time residential property.

42.4.15.4.1.9.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Withdrawal reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see GenericIdentification36 on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

42.4.15.4.1.9.4 UnclaimedAmount <UclmdAmt>

Presence: [0..1]

Definition: Amount of an unclaimed bonus or an unclaimed withdrawal.

Impacted by: C2 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

42.4.15.4.1.9.5 Outstanding <Outsdng>

Presence: [0..1]

Definition: Indicates whether there is an outstanding bonus or withdrawal amount.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.1.9.6 Reference <Ref>

Presence: [0..1]

Definition: Identification of the withdrawal or bonus.

Datatype: [Max35Text on page 3409](#)

42.4.15.4.1.9.7 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the monies paid out or withdrawn.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

42.4.15.4.1.10 WithdrawalForResidentialPurchaseProgress <WdrwlForResdttlPurchsPrgrs>

Presence: [0..1]

Definition: Indicates if there is a related property purchase in progress at the point of transfer. May be applicable to products such as Lifetime Individual Savings Account (LISA) products.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.1.11 TransferorAlternateIdentification <TrfrAltrnId>

Presence: [0..1]

Definition: Alternative identification for the transferor (ceding party), for example, the 'ISA manager Z reference' in the UK.

Datatype: Max35Text on page 3409

42.4.15.4.1.12 TotalSubscriptionAmount <TtlSbcptAmt>

Presence: [0..1]

Definition: Total amount subscribed over the lifetime of the product.

Impacted by: C1 ActiveCurrency, C15 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

42.4.15.4.1.13 OtherAmount <OthrAmt>

Presence: [0..*]

Definition: Another amount such as the total qualifying additions in the year of transfer, interest capitalised in the current year, total outstanding dividend and so on.

OtherAmount <OthrAmt> contains the following **OtherAmount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		815
	Amount <Amt>	[1..1]	Amount	C1, C15	815

42.4.15.4.1.13.1 Type <Tp>

Presence: [1..1]

Definition: Type of amount.

Type <Tp> contains the following elements (see [GenericIdentification1 on page 2021](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

42.4.15.4.1.13.2 Amount <Amt>

Presence: [1..1]

Definition: Currency and amount.

Impacted by: [C1 ActiveCurrency](#), [C15 CurrencyAmount](#)

Datatype: [ActiveCurrencyAndAmount on page 3238](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

42.4.15.4.1.14 DateFirstQualifyingAddition <DtFrstQlfygAddtn>

Presence: [0..1]

Definition: Date the first qualifying additional amount was made to the product. Qualifying additional amounts may be made to a Lifetime Individual Savings Account (LISA) product.

Datatype: [ISODate on page 3391](#)

42.4.15.4.1.15 InvestorTaxReference <InvstrTaxRef>

Presence: [0..1]

Definition: Identification of the investor as assigned by a tax authority.

InvestorTaxReference <InvstrTaxRef> contains the following **TaxReference2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			816
{Or	Code <Cd>	[1..1]	CodeSet		816
Or}	Proprietary <Prtry>	[1..1]	±		817
	Reference <Ref>	[1..1]	Text		817

42.4.15.4.1.15.1 Type <Tp>

Presence: [0..1]

Definition: Type of tax reference.

Type <Tp> contains one of the following **TaxReferenceType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		816
Or}	Proprietary <Prtry>	[1..1]	±		817

42.4.15.4.1.15.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of tax reference expressed as a code.

Datatype: [PersonIdentificationType7Code on page 3328](#)

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.

CodeName	Name	Definition
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

42.4.15.4.1.15.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of tax reference expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

42.4.15.4.1.15.2 Reference <Ref>

Presence: [1..1]

Definition: Pension scheme tax reference issued to the pension plan by a central organisation.

Datatype: [Max35Text](#) on page 3409

42.4.15.4.1.16 InvestmentsToFollowValue <InvstmtsToFilwVal>

Presence: [0..*]

Definition: Value of the investments to follow.

InvestmentsToFollowValue <InvstmtsToFilwVal> contains the following elements (see [DateAndAmount2](#) on page 1612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

42.4.15.4.1.17 InnovativeFinance <InnvtvFinc>

Presence: [0..*]

Definition: Information about an innovative finance product.

InnovativeFinance <InnvtvFinc> contains the following **InnovativeFinance1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		817
	Information <Inf>	[1..1]	Text		818

42.4.15.4.1.17.1 Type <Tp>

Presence: [1..1]

Definition: Type of innovative finance product.

Type <Tp> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

42.4.15.4.1.17.2 Information <Inf>

Presence: [1..1]

Definition: Details of an innovative finance product.

Datatype: [Max350Text](#) on page 3409

42.4.15.4.1.18 LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>

Presence: [0..1]

Definition: Lowest investment amount in the current year, used to calculate a tax deduction amount.

Impacted by: [C1 ActiveCurrency](#)

Datatype: [ActiveCurrencyAnd13DecimalAmount](#) on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

42.4.15.4.1.19 TaxCalculationBase <TaxClctnBase>

Presence: [0..1]

Definition: Amount of money from which the tax deduction is calculated.

Impacted by: [C1 ActiveCurrency](#)

Datatype: [ActiveCurrencyAnd13DecimalAmount](#) on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

42.4.15.4.1.20 UnusedTaxDeduction <UusdTaxDdctn>

Presence: [0..1]

Definition: Unused tax deduction amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

42.4.15.4.1.21 CurrentInvestmentAmount <CurInvstmtAmt>

Presence: [0..1]

Definition: Amount of money invested.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- Error severity: Fatal
- Error Code: D00005
- Error Text: Invalid currency code

42.4.15.4.1.22 EstimatedValue <EstmtdVal>

Presence: [0..1]

Definition: Estimated value of the assets of the tax efficient product to be transferred.

EstimatedValue <EstmtdVal> contains the following elements (see [DateAndAmount2](#) on page 1612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

42.4.15.4.1.23 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the tax efficient product.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

42.4.15.4.2 GeneralInvestment <GnlInvstmt>

Presence: [1..1]

Definition: Portfolio is a general investment.

GeneralInvestment <GnlInvstmt> contains the following elements (see [GeneralInvestment2](#) on page 1865 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1865
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1865
	CurrentInvestmentAmount <CurlInvstmtAmt>	[0..1]	Amount	C2	1867
	EstimatedValue <EstmtdVal>	[0..1]	±		1867
	AdditionalInformation <AddtlInf>	[0..*]	±		1867

42.4.15.4.3 Pension <Pnsn>

Presence: [1..1]

Definition: Portfolio is a pension policy, plan or scheme.

Impacted by: C9 BlockTransferRetirementAgeProtectionRule, C10 BlockTransferTaxFreeCashProtectionRule, C30 PensionOrderTypeGuideline, C31 RetirementAgeRule, C32 RingFencedDrawdownAssets1Rule, C33 RingFencedDrawdownAssets2Rule, C37 TaxFreeCashAmountRule, C38 TaxFreeCashAndValueRule, C41 TransferScopeTrancheIdentification1Rule

Pension <Pnsn> contains the following **Pension5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			826
	Identifier <Idr>	[1..1]	Text		826
	SubIdentifier <Subldr>	[0..1]	Text		826
	AdditionalInformation <AddtlInf>	[0..1]	±		826
	Type <Tp>	[1..1]			826
{Or	Code <Cd>	[1..1]	CodeSet		827
Or}	Proprietary <Prtry>	[1..1]	±		828
	TransferScope <TrfScp>	[0..1]	±		828
	TaxReference <TaxRef>	[0..*]	±		828
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		829
	DrawdownStatus <DrwdwnSts>	[0..1]	±		829
	DrawdownType <DrwdwnTp>	[0..1]	±		829
	NumberOfDrawdownTranches <NbOfDrwdwnTrnchs>	[0..1]	Quantity		829
	EstimatedValue <EstmtdVal>	[0..1]	±		830
	BlockTransfer <BlckTrf>	[0..1]	Indicator		830
	BlockTransferReference <BlckTrfRef>	[0..1]	Text		830
	TaxFreeCashProtection <TaxFreeCshPrtcn>	[0..1]	Indicator		830
	TaxFreeCashAmount <TaxFreeCshAmt>	[0..1]	±		830
	ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlyOrPlanOrSchme>	[0..1]	±		831
	RetirementAgeProtection <RtrmntAgePrtcn>	[0..1]	Indicator		831
	RetirementAge <RtrmntAge>	[0..1]	Quantity		831
	Sharing <Shrg>	[0..1]	Indicator		831
	LumpSumType <LumpSumTp>	[0..*]	±		831
	PensionOrder <PnsnOrdr>	[0..*]	±		832
	RingFencedDrawdownAssets <RingFncdDrwdwnAssts>	[0..1]	Indicator		832
	MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>	[0..1]	±		832
	SafeguardBenefit <SfgrdBnft>	[0..1]	Indicator		832
	NonSafeguardedGuaranteedBenefits <NonSfgrddGrntedBnfts>	[0..1]	Indicator		833
	LifetimeAllowanceProtection <LftmAllwncPrtcn>	[0..1]	Indicator		833

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClientLifetimeAllowanceProtection <ClntLftmAllwncPrctn>	[0..1]	Indicator		833
	BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		833
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		833
	AdditionalInformation <AddtlInf>	[0..*]	±		834

Constraints

- **BlockTransferRetirementAgeProtectionRule**

(Rule)

If BlockTransfer is "false" or "0" (No), then RetirementAgeProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then RetirementAgeProtection may be present.

On Condition

 /BlockTransfer is equal to value 'false'

Or /BlockTransfer is equal to value '0'

Following Must be True

 /RetirementAgeProtection Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00457
- *Error Text:* RetirementAgeProtection is not allowed.

- **BlockTransferTaxFreeCashProtectionRule**

(Rule)

If BlockTransfer is "false" or "0" (No), then TaxFreeCashProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then TaxFreeCashProtection may be present.

On Condition

 /BlockTransfer is equal to value 'false'

Or /BlockTransfer is equal to value '0'

Following Must be True

 /TaxFreeCashProtection Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00458
- *Error Text:* TaxFreeCashProtection is not allowed.

- **PensionOrderTypeGuideline**

(Rule)

A pension policy, plan or scheme cannot have both an earmark and a sharing order.

If PensionOrder/Type/Code/SHAR is present, then PensionOrder/Type/Code/EARM is not allowed.

If PensionOrder/Type/Code/EARM is present, then PensionOrder/Type/Code/SHAR is not allowed.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **RetirementAgeRule**

(Rule)

If RetirementAgeProtection is "false" or "0" (No), then RetirementAge is not allowed.

If RetirementAgeProtection is "true" or "1" (Yes), then RetirementAge may be present.

```
On Condition
  /RetirementAgeProtection is equal to value 'false'
Or
  /RetirementAgeProtection is equal to value '0'
Following Must be True
  /RetirementAge Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00459
- *Error Text:* RetirementAge is not allowed.

- **RingFencedDrawdownAssets1Rule**

(Rule)

If DrawdownStatus/Code/NONE (None) is present, then RingFencedDrawdownAssets is not allowed.

```
On Condition
  /DrawdownStatus/Code is equal to value 'None'
Following Must be True
  /RingFencedDrawdownAssets Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00460
- *Error Text:* RingFencedDrawdownAssets is not allowed.

- **RingFencedDrawdownAssets2Rule**

(Rule)

If DrawdownStatus/Code/PART (Partial) or FULL (Full) is present, then RingFencedDrawdownAssets must be present.

```
On Condition
  /DrawdownStatus/Code is equal to value 'Partial'
Or
  /DrawdownStatus/Code is equal to value 'Full'
Following Must be True
  /RingFencedDrawdownAssets Must be present
```


Error handling:

- *Error severity:* Fatal
- *Error Code:* X00461
- *Error Text:* RingFencedDrawdownAssets must be present.

• **TaxFreeCashAmountRule**

(Rule)

If TaxFreeCashProtection is "false" or "0" (No), then TaxFreeCashAmount is not allowed.

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount may be present.

On Condition

 /TaxFreeCashProtection is equal to value 'false'

 Or /TaxFreeCashProtection is equal to value '0'

Following Must be True

 /TaxFreeCashAmount Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00439
- *Error Text:* TaxFreeCashAmount is not allowed.

• **TaxFreeCashAndValueRule**

(Rule)

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

If TaxFreeCashProtection is "false" or "0" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme may be present.

On Condition

 /TaxFreeCashProtection is equal to value 'true'

 Or /TaxFreeCashProtection is equal to value '1'

Following Must be True

 /TaxFreeCashAmount Must be present

 And /ValueOfPensionPolicyOrPlanOrScheme Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00462
- *Error Text:* TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

• **TransferScopeTrancheIdentification1Rule**

(Rule)

If TransferScope/Code/SDDT (DrawdownTranche) is not present, then DrawdownTrancheIdentification is not allowed.

If TransferScope/Code/SDDT (DrawdownTranche) is present, then DrawdownTrancheIdentification may be present.

On Condition
 /TransferScope/Code is different from value 'DrawdownTranche'
 Following Must be True
 /DrawdownTrancheIdentification Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00463
- *Error Text:* DrawdownTrancheIdentification is not allowed.

42.4.15.4.3.1 Identification <Id>

Presence: [0..1]

Definition: Identification of the pension policy, plan or scheme.

Identification <Id> contains the following **PensionPolicy1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identifier <Idr>	[1..1]	Text		826
	SubIdentifier <Subldr>	[0..1]	Text		826
	AdditionalInformation <AddtlInf>	[0..1]	±		826

42.4.15.4.3.1.1 Identifier <Idr>

Presence: [1..1]

Definition: Reference number of the pension policy, plan or scheme.

Datatype: Max35Text on page 3409

42.4.15.4.3.1.2 SubIdentifier <Subldr>

Presence: [0..1]

Definition: Sub-identification of the pension policy, plan or scheme, such as a member reference.

Datatype: Max35Text on page 3409

42.4.15.4.3.1.3 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the identification of the pension policy, plan or scheme.

AdditionalInformation <AddtlInf> contains the following elements (see AdditionalInformation15 on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

42.4.15.4.3.2 Type <Tp>

Presence: [1..1]

Definition: Type of pension policy, plan or scheme.

Type <Tp> contains one of the following **PensionSchemeType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		827
Or}	Proprietary <Prtry>	[1..1]	±		828

42.4.15.4.3.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of pension policy, plan or scheme expressed as a code.

Datatype: [PensionSchemeType3Code on page 3325](#)

CodeName	Name	Definition
AAVC	AdditionalVoluntaryContribution	Pension plan is an additional voluntary contribution plan.
DBEN	DefinedBenefit	Pension plan is a defined benefit plan.
EXPP	ExecutivePensionPlan	Pension plan is an executive pension plan.
FAVC	FreeStandingAdditionalVoluntaryContribution	Pension plan is a free standing additional voluntary contribution plan.
GPPS	GroupPersonalPension	Pension is a group personal pension.
SIPG	GroupSelfInvestedPension	Pension plan is a group self-invested pension plan.
STKG	GroupStakeholder	Pension plan is a group stakeholder pension plan.
IPST	IndividualPensionWithTaxBenefit	Pension is an individual pension savings plan with a tax benefit. This is known as an Individual Pension Schema (IPS) in some markets.
STKI	IndividualStakeholder	Pension plan is an individual stakeholder pension.
OTPM	MandatoryOccupationalPension	Pension is a mandatory occupational pension. This is known as an Obligatory Occupation Pension (OTP) in some markets.
OCDC	OccupationalDefinedContribution	Pension plan is an occupational defined contribution plan.
PPNS	PersonalPension	Pension is a personal pension plan.
EPKA	PersonalPensionAccount	Pension is a personal pension account. This is known as Employee Pension Kapital (EPK) in some markets.
ITPO	PrivateOccupationalPension	Pension is a private occupational pension. This is known as an industrial and trade supplementary pension (ITP) in some markets.
REAN	RetirementAnnuity	Pension plan is a retirement annuity.

CodeName	Name	Definition
SC32	Section32	Pension type covered by section 32.
S32A	Section32A	Pension type covered by section 32A.
SIPP	SelfInvestedPersonalPension	Pension is a self-invested personal pension plan.
SSAS	SmallSelfAdministeredScheme	Pension is a small self-administered pension scheme.
NWRP	NonWrapperPension	Indicates that the party does not operate the pension wrapper.

42.4.15.4.3.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of pension policy, plan or scheme expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

42.4.15.4.3.3 TransferScope <TrfScp>

Presence: [0..1]

Definition: Scope of the pension policy, plan or scheme transfer.

TransferScope <TrfScp> contains one of the following elements (see [PensionTransferScope1Choice](#) on page 2228 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2228
Or}	Proprietary <Prtry>	[1..1]	±		2228

42.4.15.4.3.4 TaxReference <TaxRef>

Presence: [0..*]

Definition: Tax reference issued to the pension policy, plan or scheme by a central organisation.

TaxReference <TaxRef> contains the following elements (see [TaxReference1](#) on page 3070 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[0..1]			3071
{Or	Code <Cd>	[1..1]	CodeSet		3071
Or}	Proprietary <Prtry>	[1..1]	±		3071
	Reference <Ref>	[1..1]	Text		3072
	HolderType <HldrTp>	[0..1]			3072
{Or	Code <Cd>	[1..1]	CodeSet		3072
Or}	Proprietary <Prtry>	[1..1]	±		3072

42.4.15.4.3.5 DrawdownTrancheIdentification <DrwdwnTrchld>

Presence: [0..1]

Definition: Reference of the drawdown.

Datatype: [Max35Text](#) on page 3409

42.4.15.4.3.6 DrawdownStatus <DrwdwnSts>

Presence: [0..1]

Definition: Drawdown status of the pension.

DrawdownStatus <DrwdwnSts> contains one of the following elements (see [DrawdownStatus1Choice](#) on page 2962 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2962
Or}	Proprietary <Prtry>	[1..1]	±		2962

42.4.15.4.3.7 DrawdownType <DrwdwnTp>

Presence: [0..1]

Definition: Type of drawdown tranche.

DrawdownType <DrwdwnTp> contains one of the following elements (see [DrawdownType2Choice](#) on page 2231 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2231
Or}	Proprietary <Prtry>	[1..1]	±		2232

42.4.15.4.3.8 NumberOfDrawdownTranches <NbOfDrwdwnTrnchs>

Presence: [0..1]

Definition: Number of drawdown tranches.

Datatype: [Number on page 3405](#)

42.4.15.4.3.9 EstimatedValue <EstmtdVal>

Presence: [0..1]

Definition: Estimated value of the pension policy, plan or scheme.

EstimatedValue <EstmtdVal> contains the following elements (see [DateAndAmount2 on page 1612](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

42.4.15.4.3.10 BlockTransfer <BlckTrf>

Presence: [0..1]

Definition: Indicates whether the transfer forms part of a block transfer.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.3.11 BlockTransferReference <BlckTrfRef>

Presence: [0..1]

Definition: When the transfer is part of a block transfer, reference to link several items.

Datatype: [Max35Text on page 3409](#)

42.4.15.4.3.12 TaxFreeCashProtection <TaxFreeCshPrtc>

Presence: [0..1]

Definition: Indicates whether the tax-free cash is protected when the pension policy, plan or scheme is transferred.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.3.13 TaxFreeCashAmount <TaxFreeCshAmt>

Presence: [0..1]

Definition: Amount of cash that is tax free.

TaxFreeCashAmount <TaxFreeCshAmt> contains the following elements (see [DateAndAmount2](#) on page 1612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

42.4.15.4.3.14 ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlyOrPlanOrSchme>

Presence: [0..1]

Definition: Value of the pension policy, plan or scheme.

ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlyOrPlanOrSchme> contains the following elements (see [DateAndAmount2](#) on page 1612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

42.4.15.4.3.15 RetirementAgeProtection <RtrmntAgePrtc>

Presence: [0..1]

Definition: Indicates whether the pension policy, plan or scheme has retirement age protection.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.3.16 RetirementAge <RtrmntAge>

Presence: [0..1]

Definition: Age at which the pension policy, plan or scheme holder retires.

Datatype: [DecimalNumber](#) on page 3405

42.4.15.4.3.17 Sharing <Shrg>

Presence: [0..1]

Definition: Indicates whether the pension benefits are shared.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.3.18 LumpSumType <LumpSumTp>

Presence: [0..*]

Definition: Type of lump sum paid to a member of the pension policy, plan or scheme.

LumpSumType <LumpSumTp> contains one of the following elements (see [LumpSumType1Choice](#) on page 2230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2231
Or}	Proprietary <Prtry>	[1..1]	±		2231

42.4.15.4.3.19 PensionOrder <PnsnOrdr>

Presence: [0..*]

Definition: Order attached to the pension policy, plan or scheme.

PensionOrder <PnsnOrdr> contains the following elements (see [PensionOrder1](#) on page 2229 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2229
{Or	Code <Cd>	[1..1]	CodeSet		2230
Or}	Proprietary <Prtry>	[1..1]	±		2230
	AdditionalInformation <AddtlInf>	[0..*]	±		2230

42.4.15.4.3.20 RingFencedDrawdownAssets <RingFncdDrwdwnAssts>

Presence: [0..1]

Definition: Indicates whether assets held within the pension are ring-fenced into specific tranches.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.3.21 MoneyPurchaseAnnualAllowance <MnyPurchsAniAllwnc>

Presence: [0..1]

Definition: Money Purchase Annual Allowance (MPAA) details.

MoneyPurchaseAnnualAllowance <MnyPurchsAniAllwnc> contains the following elements (see [MoneyPurchaseAnnualAllowance1](#) on page 2229 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Triggered <Trggrd>	[1..1]	Indicator		2229
	TriggeredDate <TrggrdDt>	[0..1]	Date		2229

42.4.15.4.3.22 SafeguardBenefit <SfgrdBnft>

Presence: [0..1]

Definition: Indicates whether the pension policy, plan or scheme is covered by a safeguard benefit.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.3.23 NonSafeguardedGuaranteedBenefits <NonSfgrddGrntedBnfts>

Presence: [0..1]

Definition: Indicates whether the pension policy, plan or scheme has non-safeguarded guaranteed benefits.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.3.24 LifetimeAllowanceProtection <LftmAllwncPrtcnc>

Presence: [0..1]

Definition: Indicates whether the pension policy, plan or scheme has lifetime allowance protection.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.3.25 ClientLifetimeAllowanceProtection <CintLftmAllwncPrtcnc>

Presence: [0..1]

Definition: Indicates whether the client has any lifetime allowance protection.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.3.26 BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>

Presence: [0..1]

Definition: Indicates whether a benefit crystallisation event (BCE) has occurred. This includes 'age 75 checks'.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.3.27 NonWrapperTransfer <NonWrpprTrf>

Presence: [0..1]

Definition: Indicates that the transfer is only in relation to underlying assets, and that the wrapper transfer will occur separately.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.4.3.28 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the pension policy, plan or scheme.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

42.4.15.5 PartialDiscovery <PrtlDscvry>

Presence: [0..1]

Definition: Indicates that not all the assets in the holding/portfolio are specified and that some other kind of other communication is required.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.6 ResidualCash <RsdICsh>

Presence: [0..*]

Definition: Specifies whether there is cash in the account awaiting investment and the currency.

ResidualCash <RsdICsh> contains the following elements (see [ResidualCash1](#) on page 2371 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ResidualCashIndicator <RsdICshInd>	[1..1]	Indicator		2371
	Currency <Ccy>	[0..1]	CodeSet	C2	2372

42.4.15.7 TaxDate <TaxDt>

Presence: [0..1]

Definition: Tax date applicable to all the assets.

Datatype: [ISODate](#) on page 3391

42.4.15.8 FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>

Presence: [0..*]

Definition: Asset to be transferred.

Impacted by: [C7 AssetQuantity1Guideline](#), [C8 AssetQuantity2Guideline](#)

FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf> contains the following **FinancialInstrument99** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LineIdentification <LineId>	[0..1]	Text		836
	Instrument <Instrm>	[1..1]			836
{Or	Security <Scty>	[1..1]	±	C20	836
Or	CashAsset <CshAsst>	[1..1]	±		837
Or}	OtherAsset <OthrAsst>	[1..1]	±		837
	Quantity <Qty>	[0..1]	±		838
	UnitsDetails <UnitsDtls>	[0..*]	±		838
	ClientReference <ClntRef>	[0..1]	±		839
	CounterpartyReference <CtrPtyRef>	[0..1]	±		840
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		840
	AverageAcquisitionPrice <AvrgAcqstnPric>	[0..1]	Amount	C2, C16	840
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	841
	TotalBookValue <TtlBookVal>	[0..1]	±		841
	LatestValuation <LatstValtn>	[0..1]	±		842
	OriginalCost <OrgnlCost>	[0..1]	Amount	C1	842
	TransfereeAccount <TrfeeAcct>	[0..1]	±		842
	Transferor <Trfr>	[0..*]	±		843
	IntermediaryInformation <IntrmyInf>	[0..*]	±		843
	CrystallisationDetails <CrstllstnDtls>	[0..*]	±		844
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		844
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..*]	±		845
	AssetsHeldInOwnName <AsstsHeldInOwnNm>	[0..1]	Indicator		845
	TransferResultsInChangeOfBeneficialOwner <TrfRsltsInChngOfBnfclOwnr>	[0..1]	Indicator		845
	AdditionalInformation <AddtlInf>	[0..*]	±		845

Constraints

- **AssetQuantity1Guideline**

(Rule)

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

• **AssetQuantity2Guideline**

(Rule)

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

42.4.15.8.1 Linelidentification <Linelid>

Presence: [0..1]

Definition: Identification of the line of holding in the portfolio.

Datatype: Max35Text on page 3409

42.4.15.8.2 Instrument <Instrm>

Presence: [1..1]

Definition: Identification of the asset.

Instrument <Instrm> contains one of the following **FinancialInstrument62Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Security <Scty>	[1..1]	±	C20	836
Or	CashAsset <CshAsst>	[1..1]	±		837
Or}	OtherAsset <OthrAsst>	[1..1]	±		837

42.4.15.8.2.1 Security <Scty>

Presence: [1..1]

Definition: Identification of the security.

Impacted by: C20 IdentificationGuideline

Security <Scty> contains the following elements (see [FinancialInstrumentIdentification3](#) on page 1917 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1917
	Name <Nm>	[0..1]	Text		1918
	ShortName <ShrtNm>	[0..1]	Text		1918
	ClassificationType <ClssfctnTp>	[0..1]	±		1918
	RestrictedIndicator <RstrctdInd>	[0..1]	Indicator		1919
	AlternateSecurity <AltrnScty>	[0..*]		C21	1919
	Identification <Id>	[1..1]	±		1919
	Name <Nm>	[0..1]	Text		1920
	ShortName <ShrtNm>	[0..1]	Text		1920
	ClassificationType <ClssfctnTp>	[0..1]	±		1920
	AlternateSecurityType <AltrnSctyTp>	[0..1]	±		1921

Constraints

- **IdentificationGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

42.4.15.8.2.2 CashAsset <CshAsst>

Presence: [1..1]

Definition: Identification of the cash asset.

CashAsset <CshAsst> contains the following elements (see [CashAsset2](#) on page 1915 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1915
{Or	Code <Cd>	[1..1]	CodeSet		1916
Or}	Proprietary <Prtry>	[1..1]	±		1916
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C2	1916
	AdditionalInformation <AddtlInf>	[0..1]	±		1916

42.4.15.8.2.3 OtherAsset <OthrAsst>

Presence: [1..1]

Definition: Identification of another kind of asset in the holding that is not a security or cash.

OtherAsset <OthrAsst> contains the following elements (see [OtherAsset2](#) on page 1921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1921
{Or	Code <Cd>	[1..1]	CodeSet		1922
Or}	Proprietary <Prtry>	[1..1]	±		1922
	Identification <Id>	[1..1]	Text		1922
	Name <Nm>	[0..1]	Text		1922
	Description <Desc>	[0..1]	Text		1923
	OtherIdentification <OthrlId>	[0..5]	Text		1923
	AdditionalInformation <AddtlInf>	[0..*]	±		1923

42.4.15.8.3 Quantity <Qty>

Presence: [0..1]

Definition: Specifies the quantity of assets to be transferred in units or in a percentage rate.

Quantity <Qty> contains the following elements (see [Quantity47](#) on page 2895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[0..1]	Quantity		2895
	PercentageRate <PctgRate>	[0..1]	Rate		2895
	FaceAmount <FaceAmt>	[0..1]	Amount		2895
	AmortisedValue <AmtsdVal>	[0..1]	Amount		2895
	CashAmount <CshAmt>	[0..1]	Amount	C2	2896
	OtherAsset <OthrAsst>	[0..1]	Text		2896

42.4.15.8.4 UnitsDetails <UnitsDtls>

Presence: [0..*]

Definition: Breakdown of units.

UnitsDetails <UnitsDtls> contains the following elements (see [Unit11](#) on page 1944 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1945
	OrderDate <OrdrDt>	[0..1]	Date		1945
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1945
	CertificateNumber <CertNb>	[0..*]	Text		1946
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1946
	Reference <Ref>	[0..1]	Text		1946
	PriceDetails <PricDtls>	[0..1]	±		1946
	TransactionOverhead <TxOvrhd>	[0..1]		C17, C21	1947
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1948
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1949
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1949
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1950
	IndividualFee <IndvFee>	[0..*]	±	C6	1950
	IndividualTax <IndvTax>	[0..*]	±		1952
	OtherAmount <OthrAmt>	[0..*]			1952
	Type <Tp>	[1..1]			1952
{Or	Code <Cd>	[1..1]	CodeSet		1953
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1953
	Amount <Amt>	[1..1]	Amount	C2, C10	1953

42.4.15.8.5 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <CIntRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

42.4.15.8.6 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

Definition: Unambiguous identification of the transfer allocated by the counterparty.

CounterpartyReference <CtrPtyRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

42.4.15.8.7 BusinessFlowType <BizFlowTp>

Presence: [0..1]

Definition: Business process in which the actors are involved. This will facilitate the right business process to be triggered, according to the market business model, which may require matching instructions (double leg process) or not (single leg process).

Datatype: [BusinessFlowType1Code](#) on page 3250

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

42.4.15.8.8 AverageAcquisitionPrice <AvrgAcqstnPric>

Presence: [0..1]

Definition: Average cost per share of the security, including all fees.

Impacted by: [C2 ActiveOrHistoricCurrency](#) __, [C16 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006

– *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

– *Error Text:* Invalid currency code or too many decimal digits.

42.4.15.8.9 TransferCurrency <TrfCcy>

Presence: [0..1]

Definition: Currency to be used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

Impacted by: C2 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00006

– *Error Text:* Invalid currency code.

42.4.15.8.10 TotalBookValue <TtIBookVal>

Presence: [0..1]

Definition: Net asset on the balance sheet, the total portfolio value minus or plus the unrealised gain or loss.

TotalBookValue <TtIBookVal> contains the following elements (see DateAndAmount2 on page 1612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

42.4.15.8.11 LatestValuation <LatstValtn>

Presence: [0..1]

Definition: Date and market value of the asset.

LatestValuation <LatstValtn> contains the following elements (see [DateAndAmount2](#) on page 1612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

42.4.15.8.12 OriginalCost <OrgnlCost>

Presence: [0..1]

Definition: Original amount paid for the asset at the point of purchase. May also be known as the book cost.

Impacted by: C1 ActiveCurrency

Datatype: [ActiveCurrencyAnd13DecimalAmount](#) on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

42.4.15.8.13 TransfereeAccount <TrfeeAcct>

Presence: [0..1]

Definition: Account held in the name of the party that is not the name of the beneficial owner of the shares.

(Party and account into which the transferee receives the financial instrument from the transferor.)

TransfereeAccount <TrfeeAcct> contains the following elements (see [Account28 on page 2065](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		2065
	AccountIdentification <Acctld>	[0..1]	Text		2066
	Designation <Dsgnt>	[0..1]	Text		2066
	AccountName <AcctNm>	[0..1]	Text		2066
	Servicer <Svcr>	[0..1]	±		2066
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2067

42.4.15.8.14 Transferor <Trfr>

Presence: [0..*]

Definition: Party and account from which the transferor delivers the financial instrument to the transferee.

Transferor <Trfr> contains the following elements (see [Account28 on page 2065](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		2065
	AccountIdentification <Acctld>	[0..1]	Text		2066
	Designation <Dsgnt>	[0..1]	Text		2066
	AccountName <AcctNm>	[0..1]	Text		2066
	Servicer <Svcr>	[0..1]	±		2066
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2067

42.4.15.8.15 IntermediaryInformation <IntrmyInf>

Presence: [0..*]

Definition: Identification of a related party or intermediary.

IntermediaryInformation <IntrmyInf> contains the following elements (see [Intermediary43](#) on page 2610 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2610
	Account <Acct>	[0..1]			2611
	Identification <Id>	[0..1]	Text		2611
	AccountServicer <AcctSvcr>	[1..1]	±		2611
	Role <Role>	[0..1]	±		2611
	ContactPerson <CtctPrsn>	[0..1]	±		2612

42.4.15.8.16 CrystallisationDetails <CrstllstnDtls>

Presence: [0..*]

Definition: Number of units that have been received (crystallised) or not yet received (uncrystallised) from the fund. This is typically relevant to a pension fund.

CrystallisationDetails <CrstllstnDtls> contains the following elements (see [Crystallisation2](#) on page 2224 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TrancheIdentification <TrchId>	[1..1]	Text		2224
	CrystallisedUnitsNumber <CrstllsdUnitsNb>	[0..1]	Quantity		2225
	UncrystallisedUnitsNumber <UcrstllsdUnitsNb>	[0..1]	Quantity		2225
	CrystallisedAmount <CrstllsdAmt>	[0..1]	Amount	C2	2225
	UncrystallisedAmount <UcrstllsdAmt>	[0..1]	Amount	C2	2225
	AdditionalInformation <AddtlInf>	[0..*]	±		2226

42.4.15.8.17 TaxValuationPoint <TaxValtnPt>

Presence: [0..1]

Definition: Date or tax quarter used for the calculation of tax on the asset.

TaxValuationPoint <TaxValtnPt> contains the following elements (see [Tax36](#) on page 1823 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOrPeriod <DtOrPrd>	[1..1]			1823
{Or	Date <Dt>	[1..1]	Date		1824
Or}	Period <Prd>	[1..1]	Text		1824
	AdditionalInformation <AddtlInf>	[0..*]	±		1824

42.4.15.8.18 SettlementPartiesDetails <SttlmPtiesDtls>

Presence: [0..*]

Definition: Chain of parties involved in the settlement of a transaction.

SettlementPartiesDetails <SttlmPtiesDtls> contains the following elements (see [FundSettlementParameters17](#) on page 3162 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		3162
	TradeTransactionCondition <TradTxCond>	[0..*]	±		3163
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		3163
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		3163
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3164
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3166

42.4.15.8.19 AssetsHeldInOwnName <AsstsHeldInOwnNm>

Presence: [0..1]

Definition: Indicates whether the assets are held in an individual's own name.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.8.20 TransferResultsInChangeOfBeneficialOwner <TrfRsItsInChngOfBnfcIOwnr>

Presence: [0..1]

Definition: Indicates whether the transfer results in a change of beneficial owner.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

42.4.15.8.21 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the financial instrument.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

42.4.15.9 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the product transfer.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

42.4.16 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

42.4.17 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that can not be captured in the structured fields and/or any other specific block.

Impacted by: [C19 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

43 MX sese.019.001.08 AccountHoldingInformationRequestV08

43.1 MessageDefinition Functionality

Scope

The AccountHoldingInformationRequest message is sent by an instructing party, for example, a (new) plan manager (transferee), to the executing party, for example, a (old) plan manager (transferor), on behalf of the initiating party, for example, an investor (client), to request information about financial instruments held on behalf of the client.

Usage

The AccountHoldingInformationRequest message is used to request information about assets held on behalf of the client for which it intends to instruct a portfolio transfer at a later time.

Outline

The AccountHoldingInformationRequestV08 MessageDefinition is composed of 17 MessageBuildingBlocks:

A. MessageReference

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. BusinessFlowDirectionType

Business flow direction (assets to be delivered or received).

F. PrimaryIndividualInvestor

Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

G. SecondaryIndividualInvestor

Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

H. OtherIndividualInvestor

Information identifying the other individual investors, for example, name, address, social security number and date of birth.

I. PrimaryCorporateInvestor

Information identifying the primary corporate investor, for example, name and address.

J. SecondaryCorporateInvestor

Information identifying the secondary corporate investor, for example, name and address.

K. OtherCorporateInvestor

Information identifying the other corporate investors, for example, name and address.

L. TransferorAccount

Identification of the account owned by the investor at the old plan manager (account servicer).

M. NomineeAccount

Account held in the name of a party that is not the name of the beneficial owner of the shares.

N. Transferee

Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

O. ProductTransfer

Information about the portfolio and assets.

P. MarketPracticeVersion

Identifies the market practice to which the message conforms.

Q. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

43.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root <Document> <AcctHldgInfReq></i>	[1..1]		C7, C8, C14, C15, C16	
	MessageReference <MsgRef>	[1..1]	±		857
	PoolReference <PoolRef>	[0..1]	±		857
	PreviousReference <PrvsRef>	[0..1]	±		857
	RelatedReference <RltdRef>	[0..1]	±		857
	BusinessFlowDirectionType <BizFlowDrctnTp>	[0..1]	CodeSet		858
	PrimaryIndividualInvestor <PmryIndvInvstr>	[0..1]	±	C22	858
	SecondaryIndividualInvestor <ScndryIndvInvstr>	[0..1]	±	C22	859
	OtherIndividualInvestor <OthrIndvInvstr>	[0..*]	±	C22	859
	PrimaryCorporateInvestor <PmryCorplInvstr>	[0..1]	±		860
	SecondaryCorporateInvestor <ScndryCorplInvstr>	[0..1]	±		860
	OtherCorporateInvestor <OthrCorplInvstr>	[0..*]	±		861
	TransferorAccount <TrfrAcct>	[1..1]	±		861
	NomineeAccount <NmneeAcct>	[0..1]	±		862
	Transferee <Trfee>	[1..1]	±		862
	ProductTransfer <PdctTrf>	[1..*]			862
	MasterReference <MstrRef>	[0..1]	Text		865
	TransferIdentification <Trfld>	[1..1]	Text		865
	Portfolio <Prfl>	[0..1]			865
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]	±		866
Or	GeneralInvestment <Gnllnvstrmt>	[1..1]	±		866
Or}	Pension <Pnsn>	[1..1]			867
	Identification <Id>	[0..1]			867
	Identifier <Idr>	[1..1]	Text		868
	SubIdentifier <Subldr>	[0..1]	Text		868
	AdditionalInformation <AddtlInf>	[0..1]	±		868
	Type <Tp>	[0..1]			868
{Or	Code <Cd>	[1..1]	CodeSet		868

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	Proprietary <Prtry>	[1..1]	±		869
	TransferScope <TrfScp>	[0..1]	±		870
	TaxReference <TaxRef>	[0..*]	±		870
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		870
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		870
	AdditionalInformation <AddtlInf>	[0..*]	±		871
	FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>	[0..*]			871
	LineIdentification <LineId>	[0..1]	Text		872
	Instrument <Instrm>	[1..1]			872
{Or	Security <Scty>	[1..1]	±	C13	872
Or	CashAsset <CshAsst>	[1..1]	±		872
Or}	OtherAsset <OthrAsst>	[1..1]	±		873
	ClientReference <ClntRef>	[0..1]	±		873
	CounterpartyReference <CtrPtyRef>	[0..1]	±		873
	TransfereeAccount <TrfeeAcct>	[0..1]	±		874
	Transferor <Trfr>	[0..1]	±		874
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		875
	AssetsHeldInOwnName <AsstsHeldInOwnNm>	[0..1]	Indicator		875
	TransferResultsInChangeOfBeneficialOwner <TrfRsltsInChngOfBnfcIOwnr>	[0..1]	Indicator		875
	AdditionalInformation <AddtlInf>	[0..*]	±		875
	AdditionalInformation <AddtlInf>	[0..*]	±		876
	MarketPracticeVersion <MktPrctcVrsn>	[0..1]	±		876
	Extension <Xtnsn>	[0..*]	±	C12	876

43.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AdditonalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C4 AdditonalDetailsGuideline

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

C5 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 BookTransferGuideline

(Rule)

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on www.smpg.info.

C7 Corporate1Rule

(Rule)

If PrimaryCorporateInvestor is not present, then SecondaryCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then SecondaryCorporateInvestor may be present.
(CrossElementComplexRule)

```
On Condition
  /PrimaryCorporateInvestor is absent
Following Must be True
  /SecondaryCorporateInvestor Must be absent
```

Error handling:

- *Error severity:* Warning
- *Error Code:* X00455
- *Error Text:* SecondaryCorporateInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C8 Corporate2Rule

(Rule)

If PrimaryCorporateInvestor is not present, then OtherCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then OtherCorporateInvestor may be present. (CrossElementComplexRule)

```
On Condition
  /PrimaryCorporateInvestor is absent
Following Must be True
  /OtherCorporateInvestor[*] Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00456
- *Error Text:* OtherCorporateInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C9 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C10 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 DepositoryGuideline

(Rule)

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on www.smpg.info.

C12 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C13 IdentificationGuideline

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C14 Investor1Rule

(Rule)

If PrimaryIndividualInvestor is not present, then SecondaryIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then SecondaryIndividualInvestor may be present.
(CrossElementComplexRule)

```
On Condition
  /PrimaryIndividualInvestor is absent
Following Must be True
  /SecondaryIndividualInvestor Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00454
- *Error Text:* SecondaryIndividualInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C15 Investor2Rule

(Rule)

If PrimaryIndividualInvestor is not present, then OtherIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then OtherIndividualInvestor may be present. (CrossElementComplexRule)

```
On Condition
  /PrimaryIndividualInvestor is absent
Following Must be True
  /OtherIndividualInvestor[*] Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00453
- *Error Text:* OtherIndividualInvestor is not allowed.

This constraint is defined at the MessageDefinition level.

C16 NomineeAccountServicerRule

(Rule)

NomineeAccount/Servicer must be present when and only when different from TransferorAccount/Servicer.

This constraint is defined at the MessageDefinition level.

C17 Party2PresenceRule

(Rule)

If Party2 is present, then Party1 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00128
- *Error Text:* Party1 must be present.

C18 Party3PresenceRule

(Rule)

If Party3 is present, then Party2 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00129

- *Error Text:* Party2 must be present.

C19 Party4PresenceRule

(Rule)

If Party4 is present, then Party3 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00130
- *Error Text:* Party3 must be present.

C20 Party5PresenceRule

(Rule)

If Party5 is present, then Party4 must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00131
- *Error Text:* Party4 must be present.

C21 SettlementChainGuideline

(Rule)

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on www.smpg.info.

C22 SocialSecurityNumberGuideline

(Rule)

The UK Insurance Number must be indicated without spaces.

C23 SpecificPreviousYearsGuideline

(Rule)

SpecificPreviousYears must not contain the current year.

43.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

43.4.1 MessageReference <MsgRef>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageReference <MsgRef> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

43.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference11 on page 2001](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2001
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2002

43.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference10 on page 2002](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

43.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

43.4.5 BusinessFlowDirectionType <BizFlowDrctnTp>

Presence: [0..1]

Definition: Business flow direction (assets to be delivered or received).

Datatype: [BusinessFlowDirectionType1Code](#) on page 3250

CodeName	Name	Definition
ADLV	AssetstoBeDelivered	Assets to be delivered.
ARCV	AssetsToBeReceived	Assets to be received.

43.4.6 PrimaryIndividualInvestor <PmryIndvInvstr>

Presence: [0..1]

Definition: Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

Impacted by: [C22 SocialSecurityNumberGuideline](#)

PrimaryIndividualInvestor <PmryIndvInvstr> contains the following elements (see [IndividualPerson8](#) on page 2811 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2811
	GivenName <GvnNm>	[1..1]	Text		2811
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2811
	NameSuffix <NmSfx>	[0..1]	Text		2812
	Gender <Gndr>	[0..1]	CodeSet		2812
	BirthDate <BirthDt>	[0..1]	Date		2812
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2812
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2812

Constraints

- **SocialSecurityNumberGuideline**
 (Rule)

The UK Insurance Number must be indicated without spaces.

43.4.7 SecondaryIndividualInvestor <ScndryIndvInvstr>

Presence: [0..1]

Definition: Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

Impacted by: [C22 SocialSecurityNumberGuideline](#)

SecondaryIndividualInvestor <ScndryIndvInvstr> contains the following elements (see [IndividualPerson8](#) on page 2811 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2811
	GivenName <GvnNm>	[1..1]	Text		2811
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2811
	NameSuffix <NmSfx>	[0..1]	Text		2812
	Gender <Gndr>	[0..1]	CodeSet		2812
	BirthDate <BirthDt>	[0..1]	Date		2812
	SocialSecurityNumber <ScIScTyNb>	[0..1]	Text		2812
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2812

Constraints

- **SocialSecurityNumberGuideline**

(Rule)

The UK Insurance Number must be indicated without spaces.

43.4.8 OtherIndividualInvestor <OthrIndvInvstr>

Presence: [0..*]

Definition: Information identifying the other individual investors, for example, name, address, social security number and date of birth.

Impacted by: [C22 SocialSecurityNumberGuideline](#)

OtherIndividualInvestor <OthrIndvInvstr> contains the following elements (see [IndividualPerson8](#) on page 2811 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2811
	GivenName <GvnNm>	[1..1]	Text		2811
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2811
	NameSuffix <NmSfx>	[0..1]	Text		2812
	Gender <Gndr>	[0..1]	CodeSet		2812
	BirthDate <BirthDt>	[0..1]	Date		2812
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2812
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2812

Constraints

- **SocialSecurityNumberGuideline**

(Rule)

The UK Insurance Number must be indicated without spaces.

43.4.9 PrimaryCorporateInvestor <PmryCorplnvstr>

Presence: [0..1]

Definition: Information identifying the primary corporate investor, for example, name and address.

PrimaryCorporateInvestor <PmryCorplnvstr> contains the following elements (see [Organisation36](#) on page 2490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2490
	Identification <Id>	[0..1]	±		2490
	Purpose <Purp>	[0..1]	Text		2490
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	2490
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2491
	RegistrationDate <RegnDt>	[0..1]	Date		2491
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		2491
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		2491
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		2492

43.4.10 SecondaryCorporateInvestor <ScndryCorplnvstr>

Presence: [0..1]

Definition: Information identifying the secondary corporate investor, for example, name and address.

SecondaryCorporateInvestor <ScndryCorplnvstr> contains the following elements (see [Organisation36](#) on page 2490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2490
	Identification <Id>	[0..1]	±		2490
	Purpose <Purp>	[0..1]	Text		2490
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	2490
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2491
	RegistrationDate <RegnDt>	[0..1]	Date		2491
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		2491
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		2491
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		2492

43.4.11 OtherCorporateInvestor <OthrCorplnvstr>

Presence: [0..*]

Definition: Information identifying the other corporate investors, for example, name and address.

OtherCorporateInvestor <OthrCorplnvstr> contains the following elements (see [Organisation36](#) on page 2490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2490
	Identification <Id>	[0..1]	±		2490
	Purpose <Purp>	[0..1]	Text		2490
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	2490
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2491
	RegistrationDate <RegnDt>	[0..1]	Date		2491
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		2491
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		2491
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		2492

43.4.12 TransferorAccount <TrfrAcct>

Presence: [1..1]

Definition: Identification of the account owned by the investor at the old plan manager (account servicer).

TransferorAccount <TrfrAcct> contains the following elements (see [InvestmentAccount69](#) on page 1594 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1594
	Designation <Dsgnt>	[0..1]	Text		1594
	AccountName <AcctNm>	[0..1]	Text		1595
	Servicer <Svcr>	[0..1]	±		1595

43.4.13 NomineeAccount <NmneeAcct>

Presence: [0..1]

Definition: Account held in the name of a party that is not the name of the beneficial owner of the shares.

NomineeAccount <NmneeAcct> contains the following elements (see [InvestmentAccount69](#) on page 1594 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1594
	Designation <Dsgnt>	[0..1]	Text		1594
	AccountName <AcctNm>	[0..1]	Text		1595
	Servicer <Svcr>	[0..1]	±		1595

43.4.14 Transferee <Trfee>

Presence: [1..1]

Definition: Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

Transferee <Trfee> contains the following elements (see [PartyIdentification132](#) on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

43.4.15 ProductTransfer <PdctTrf>

Presence: [1..*]

Definition: Information about the portfolio and assets.

ProductTransfer <PdctTrf> contains the following **PortfolioTransfer12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		865
	TransferIdentification <Trfld>	[1..1]	Text		865
	Portfolio <Prfl>	[0..1]			865
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]	±		866
Or	GeneralInvestment <GnlInvstmt>	[1..1]	±		866
Or}	Pension <Pnsn>	[1..1]			867
	Identification <Id>	[0..1]			867
	Identifier <Idr>	[1..1]	Text		868
	SubIdentifier <Subldr>	[0..1]	Text		868
	AdditionalInformation <AddtlInf>	[0..1]	±		868
	Type <Tp>	[0..1]			868
{Or	Code <Cd>	[1..1]	CodeSet		868
Or}	Proprietary <Prtry>	[1..1]	±		869
	TransferScope <TrfScp>	[0..1]	±		870
	TaxReference <TaxRef>	[0..*]	±		870
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		870
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		870
	AdditionalInformation <AddtlInf>	[0..*]	±		871
	FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>	[0..*]			871
	LineIdentification <LineId>	[0..1]	Text		872
	Instrument <Instrm>	[1..1]			872
{Or	Security <Scty>	[1..1]	±	C13	872
Or	CashAsset <CshAsst>	[1..1]	±		872
Or}	OtherAsset <OthrAsst>	[1..1]	±		873
	ClientReference <ClntRef>	[0..1]	±		873
	CounterpartyReference <CtrPtyRef>	[0..1]	±		873
	TransfereeAccount <TrfeeAcct>	[0..1]	±		874
	Transferor <Trfr>	[0..1]	±		874
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		875
	AssetsHeldInOwnName <AsstsHeldInOwnNm>	[0..1]	Indicator		875

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferResultsInChangeOfBeneficialOwner <TrfRsltsInChngOfBnfcIOwnr>	[0..1]	Indicator		875
	AdditionalInformation <AddtlInf>	[0..*]	±		875
	AdditionalInformation <AddtlInf>	[0..*]	±		876

43.4.15.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Datatype: Max35Text on page 3409

43.4.15.2 TransferIdentification <Trfld>

Presence: [1..1]

Definition: Identification assigned to the transfer of assets.

Datatype: Max35Text on page 3409

43.4.15.3 Portfolio <Prftl>

Presence: [0..1]

Definition: Choice of tax efficient product, general investment or pension.

Portfolio <Prftl> contains one of the following **FundPortfolio9Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]	±		866
Or	GeneralInvestment <Gnllnvstmt>	[1..1]	±		866
Or}	Pension <Pnsn>	[1..1]			867
	Identification <Id>	[0..1]			867
	Identifier <Idr>	[1..1]	Text		868
	SubIdentifier <Subldr>	[0..1]	Text		868
	AdditionalInformation <AddtlInf>	[0..1]	±		868
	Type <Tp>	[0..1]			868
{Or	Code <Cd>	[1..1]	CodeSet		868
Or}	Proprietary <Prtry>	[1..1]	±		869
	TransferScope <TrfScp>	[0..1]	±		870
	TaxReference <TaxRef>	[0..*]	±		870
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		870
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		870
	AdditionalInformation <AddtlInf>	[0..*]	±		871

43.4.15.3.1 TaxEfficientProduct <TaxEffcntPdct>

Presence: [1..1]

Definition: Portfolio is a government scheme to encourage investment in securities based unit and investment trusts, offering certain tax benefits. These are not investments in their own right but are tax exempt 'wrappers' in which equities, bonds and funds can be held to shelter them from various types of tax.

In the UK, a typical tax wrapper product is known as an 'ISA' (Individual Savings Account).

TaxEfficientProduct <TaxEffcntPdct> contains the following elements (see [TaxEfficientProduct4](#) on page 1863 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		1864
	CurrentYear <CurYr>	[0..1]	Indicator		1864
	PreviousYears <PrvsYrs>	[0..1]	±	C23	1864
	AdditionalInformation <AddtlInf>	[0..*]	±		1865

43.4.15.3.2 GeneralInvestment <Gnllnvstmt>

Presence: [1..1]

Definition: Portfolio is a general investment.

GeneralInvestment <GnlInvstmt> contains the following elements (see [GeneralInvestment2](#) on page 1865 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1865
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1865
	CurrentInvestmentAmount <CurlInvstmtAmt>	[0..1]	Amount	C2	1867
	EstimatedValue <EstmtdVal>	[0..1]	±		1867
	AdditionalInformation <AddtlInf>	[0..*]	±		1867

43.4.15.3.3 Pension <Pnsn>

Presence: [1..1]

Definition: Portfolio is a pension policy, plan or scheme.

Pension <Pnsn> contains the following **Pension6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			867
	Identifier <Idr>	[1..1]	Text		868
	SubIdentifier <Subldr>	[0..1]	Text		868
	AdditionalInformation <AddtlInf>	[0..1]	±		868
	Type <Tp>	[0..1]			868
{Or	Code <Cd>	[1..1]	CodeSet		868
Or}	Proprietary <Prtry>	[1..1]	±		869
	TransferScope <TrfScp>	[0..1]	±		870
	TaxReference <TaxRef>	[0..*]	±		870
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		870
	NonWrapperTransfer <NonWrpprTrf>	[0..1]	Indicator		870
	AdditionalInformation <AddtlInf>	[0..*]	±		871

43.4.15.3.3.1 Identification <Id>

Presence: [0..1]

Definition: Identification of the pension policy, plan or scheme.

Identification <Id> contains the following **PensionPolicy1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identifier <Idr>	[1..1]	Text		868
	SubIdentifier <Subldr>	[0..1]	Text		868
	AdditionalInformation <AddtlInf>	[0..1]	±		868

43.4.15.3.3.1.1 Identifier <Idr>

Presence: [1..1]

Definition: Reference number of the pension policy, plan or scheme.

Datatype: [Max35Text on page 3409](#)

43.4.15.3.3.1.2 SubIdentifier <Subldr>

Presence: [0..1]

Definition: Sub-identification of the pension policy, plan or scheme, such as a member reference.

Datatype: [Max35Text on page 3409](#)

43.4.15.3.3.1.3 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the identification of the pension policy, plan or scheme.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

43.4.15.3.3.2 Type <Tp>

Presence: [0..1]

Definition: Type of pension policy, plan or scheme.

Type <Tp> contains one of the following **PensionSchemeType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		868
Or}	Proprietary <Prtry>	[1..1]	±		869

43.4.15.3.3.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of pension policy, plan or scheme expressed as a code.

Datatype: [PensionSchemeType3Code on page 3325](#)

CodeName	Name	Definition
AAVC	AdditionalVoluntaryContribution	Pension plan is an additional voluntary contribution plan.
DBEN	DefinedBenefit	Pension plan is a defined benefit plan.
EXPP	ExecutivePensionPlan	Pension plan is an executive pension plan.
FAVC	FreeStandingAdditionalVoluntaryContribution	Pension plan is a free standing additional voluntary contribution plan.
GPPS	GroupPersonalPension	Pension is a group personal pension.
SIPG	GroupSelfInvestedPension	Pension plan is a group self-invested pension plan.
STKG	GroupStakeholder	Pension plan is a group stakeholder pension plan.
IPST	IndividualPensionWithTaxBenefit	Pension is an individual pension savings plan with a tax benefit. This is known as an Individual Pension Schema (IPS) in some markets.
STKI	IndividualStakeholder	Pension plan is an individual stakeholder pension.
OTPM	MandatoryOccupationalPension	Pension is a mandatory occupational pension. This is known as an Obligatory Occupation Pension (OTP) in some markets.
OCDL	OccupationalDefinedContribution	Pension plan is an occupational defined contribution plan.
PPNS	PersonalPension	Pension is a personal pension plan.
EPKA	PersonalPensionAccount	Pension is a personal pension account. This is known as Employee Pension Kapital (EPK) in some markets.
ITPO	PrivateOccupationalPension	Pension is a private occupational pension. This is known as an industrial and trade supplementary pension (ITP) in some markets.
REAN	RetirementAnnuity	Pension plan is a retirement annuity.
SC32	Section32	Pension type covered by section 32.
S32A	Section32A	Pension type covered by section 32A.
SIPP	SelfInvestedPersonalPension	Pension is a self-invested personal pension plan.
SSAS	SmallSelfAdministeredScheme	Pension is a small self-administered pension scheme.
NWRP	NonWrapperPension	Indicates that the party does not operate the pension wrapper.

43.4.15.3.3.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of pension policy, plan or scheme expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

43.4.15.3.3.3 TransferScope <TrfScp>

Presence: [0..1]

Definition: Scope of the pension policy, plan or scheme transfer.

TransferScope <TrfScp> contains one of the following elements (see [PensionTransferScope1Choice](#) on page 2228 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2228
Or}	Proprietary <Prtry>	[1..1]	±		2228

43.4.15.3.3.4 TaxReference <TaxRef>

Presence: [0..*]

Definition: Tax reference issued to the pension policy, plan or scheme by a central organisation.

TaxReference <TaxRef> contains the following elements (see [TaxReference1](#) on page 3070 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[0..1]			3071
{Or	Code <Cd>	[1..1]	CodeSet		3071
Or}	Proprietary <Prtry>	[1..1]	±		3071
	Reference <Ref>	[1..1]	Text		3072
	HolderType <HldrTp>	[0..1]			3072
{Or	Code <Cd>	[1..1]	CodeSet		3072
Or}	Proprietary <Prtry>	[1..1]	±		3072

43.4.15.3.3.5 DrawdownTrancheIdentification <DrwdwnTrchld>

Presence: [0..1]

Definition: Reference of the drawdown.

Datatype: Max35Text on page 3409

43.4.15.3.3.6 NonWrapperTransfer <NonWrpprTrf>

Presence: [0..1]

Definition: Indicates that the transfer is only in relation to underlying assets, and that the wrapper transfer will occur separately.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

43.4.15.3.3.7 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the pension policy, plan or scheme.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

43.4.15.4 FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>

Presence: [0..*]

Definition: Asset to be transferred.

FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf> contains the following **FinancialInstrument101** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Lineldentification <Lineld>	[0..1]	Text		872
	Instrument <Instrm>	[1..1]			872
{Or	Security <Scty>	[1..1]	±	C13	872
Or	CashAsset <CshAsst>	[1..1]	±		872
Or}	OtherAsset <OthrAsst>	[1..1]	±		873
	ClientReference <ClntRef>	[0..1]	±		873
	CounterpartyReference <CtrPtyRef>	[0..1]	±		873
	TransfereeAccount <TrfeeAcct>	[0..1]	±		874
	Transferor <Trfr>	[0..1]	±		874
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		875
	AssetsHeldInOwnName <AsstsHeldInOwnNm>	[0..1]	Indicator		875
	TransferResultsInChangeOfBeneficialOwner <TrfRsltInChngOfBnfcIOwnr>	[0..1]	Indicator		875
	AdditionalInformation <AddtlInf>	[0..*]	±		875

43.4.15.4.1 Lineldentification <Lineld>

Presence: [0..1]

Definition: Identification of the line of holding in the portfolio.

Datatype: [Max35Text on page 3409](#)

43.4.15.4.2 Instrument <Instrm>

Presence: [1..1]

Definition: Identification of the asset.

Instrument <Instrm> contains one of the following **FinancialInstrument61Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Security <Scty>	[1..1]	±	C13	872
Or	CashAsset <CshAsst>	[1..1]	±		872
Or}	OtherAsset <OthrAsst>	[1..1]	±		873

43.4.15.4.2.1 Security <Scty>

Presence: [1..1]

Definition: Identification of the security.

Impacted by: [C13 IdentificationGuideline](#)

Security <Scty> contains the following elements (see [FinancialInstrumentIdentification2 on page 1925](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1926
	Name <Nm>	[0..1]	Text		1927
	ShortName <ShrtNm>	[0..1]	Text		1927
	ClassificationType <ClssfctnTp>	[0..1]	±		1927

Constraints

- **IdentificationGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

43.4.15.4.2.2 CashAsset <CshAsst>

Presence: [1..1]

Definition: Identification of the cash asset.

CashAsset <CshAsst> contains the following elements (see [CashAsset2](#) on page 1915 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1915
{Or	Code <Cd>	[1..1]	CodeSet		1916
Or}	Proprietary <Prtry>	[1..1]	±		1916
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C2	1916
	AdditionalInformation <AddtlInf>	[0..1]	±		1916

43.4.15.4.2.3 OtherAsset <OthrAsst>

Presence: [1..1]

Definition: Identification of another kind of asset in the holding that is not a security or cash.

OtherAsset <OthrAsst> contains the following elements (see [OtherAsset2](#) on page 1921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1921
{Or	Code <Cd>	[1..1]	CodeSet		1922
Or}	Proprietary <Prtry>	[1..1]	±		1922
	Identification <Id>	[1..1]	Text		1922
	Name <Nm>	[0..1]	Text		1922
	Description <Desc>	[0..1]	Text		1923
	OtherIdentification <OthrlId>	[0..5]	Text		1923
	AdditionalInformation <AddtlInf>	[0..*]	±		1923

43.4.15.4.3 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <CIntRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	ReferenceIssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

43.4.15.4.4 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

Definition: Unambiguous identification of the transfer allocated by the counterparty.

CounterpartyReference <CtrPtyRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

43.4.15.4.5 TransfereeAccount <TrfeeAcct>

Presence: [0..1]

Definition: Account held in the name of the party that is not the name of the beneficial owner of the shares.

(Party and account into which the transferee receives the financial instrument from the transferor.)

TransfereeAccount <TrfeeAcct> contains the following elements (see [Account28](#) on page 2065 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		2065
	AccountIdentification <Acctld>	[0..1]	Text		2066
	Designation <Dsgnt>	[0..1]	Text		2066
	AccountName <AcctNm>	[0..1]	Text		2066
	Servicer <Svcr>	[0..1]	±		2066
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2067

43.4.15.4.6 Transferor <Trfr>

Presence: [0..1]

Definition: Party and account from which the transferor delivers the financial instrument to the transferee.

Transferor <Trfr> contains the following elements (see [Account28](#) on page 2065 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		2065
	AccountIdentification <Acctld>	[0..1]	Text		2066
	Designation <Dsgnt>	[0..1]	Text		2066
	AccountName <AcctNm>	[0..1]	Text		2066
	Servicer <Svcr>	[0..1]	±		2066
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2067

43.4.15.4.7 SettlementPartiesDetails <SttlmPtiesDtls>

Presence: [0..1]

Definition: Chain of parties involved in the settlement of a transaction.

SettlementPartiesDetails <SttlmPtiesDtls> contains the following elements (see [FundSettlementParameters18](#) on page 3158 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		3158
	TradeTransactionCondition <TradTxCond>	[0..*]	±		3159
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		3159
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		3159
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3160

43.4.15.4.8 AssetsHeldInOwnName <AsstsHeldInOwnNm>

Presence: [0..1]

Definition: Indicates whether the assets are held in an individual's own name.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

43.4.15.4.9 TransferResultsInChangeOfBeneficialOwner <TrfRsltsInChngOfBnfclOwnr>

Presence: [0..1]

Definition: Indicates whether the transfer results in a change of beneficial owner.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

43.4.15.4.10 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the financial instrument.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

43.4.15.5 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the product transfer.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

43.4.16 MarketPracticeVersion <MktPrctcVrsn>

Presence: [0..1]

Definition: Identifies the market practice to which the message conforms.

MarketPracticeVersion <MktPrctcVrsn> contains the following elements (see [MarketPracticeVersion1](#) on page 2452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

43.4.17 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C12 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

44 MX setr.001.001.04 RedemptionBulkOrderV04

44.1 MessageDefinition Functionality

Scope

The RedemptionBulkOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a redemption from a financial instrument for two or more accounts.

Usage

The RedemptionBulkOrder message is used to bulk several individual orders into one bulk order. The individual orders come from different instructing parties, that is, account owners, but are for the same financial instrument. The RedemptionBulkOrder can result in one single bulk cash settlement or several individual cash settlements.

This message will be typically used by a party collecting orders, that is, a concentrator, bulking these individual orders into one bulk order before sending it to an executing party.

For a single redemption order, the RedemptionOrder message, not the RedemptionBulkOrder message, must be used.

If there are redemption orders for different financial instruments but for the same account, then the RedemptionOrder must be used.

Outline

The RedemptionBulkOrderV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. BulkOrderDetails
General information related to the orders.
- E. CopyDetails
Information provided when the message is a copy of a previous message.
- F. Extension
Additional information that cannot be captured in the structured elements and/or any other specific block.

44.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedBlkOrd>	[1..1]		C2	
	MessageIdentification <MsgId>	[1..1]	±		887
	PoolReference <PoolRef>	[0..1]	±		887
	PreviousReference <PrvsRef>	[0..*]	±		888
	BulkOrderDetails <BlkOrdDtls>	[1..1]		C7, C27, C29	888
	MasterReference <MstrRef>	[0..1]	Text		891
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		891
	OrderDateTime <OrdDtTm>	[0..1]	DateTime		891
	ExpiryDateTime <XpryDtTm>	[0..1]	±		891
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		891
	CancellationRight <CxlRght>	[0..1]	±		892
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C18	892
	IndividualOrderDetails <IndvOrdDtls>	[1..*]		C21, C23, C24	893
	OrderReference <OrdRef>	[1..1]	Text		896
	ClientReference <ClntRef>	[0..1]	Text		896
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	896
	OrderType <OrdTp>	[0..10]	±		896
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C22	897
	AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>	[1..1]			897
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		898
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	898
Or	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	899
Or}	HoldingsRedemptionRate <HldgsRedRate>	[1..1]	Rate		899
	Rounding <Rndg>	[0..1]	CodeSet		900
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C3, C10	900
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		900
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		901

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	ForeignExchangeDetails <FXDtls>	[0..1]	±		901
	IncomePreference <IncmPref>	[0..1]	CodeSet		902
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		902
	TransactionOverhead <TxOvrhd>	[0..1]		C16	902
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		903
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	903
	IndividualTax <IndvTax>	[0..*]	±		905
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		906
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		908
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		908
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		908
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		909
	StaffClientBreakdown <StffCintBrkdwn>	[0..4]	±		910
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		910
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		910
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	910
	Equalisation <Equlstrn>	[0..1]	±		911
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		911
	TransactionChannelType <TxChanlTp>	[0..1]	±		912
	SignatureType <SgntrTp>	[0..1]	±		912
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±	C32	912
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	913
	RequestedNAVCurrency <ReqdNAVCCcy>	[0..1]	CodeSet	C4	913
	TotalSettlementAmount <TtlSttlmAmt>	[0..1]	Amount	C3, C10	914
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]	±		914
	CopyDetails <CpyDtls>	[0..1]	±		916
	Extension <Xtnsn>	[0..*]	±	C14	916

44.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountElementRule

(Rule)

Either AccountIdentification or Type must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C2 AccountIdentificationRule

(Rule)

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in BulkOrderDetails/IndividualOrderDetails/InvestmentAccountDetails must be UNKNOWN.

This constraint is defined at the MessageDefinition level.

C3 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 BICFI

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C7 BulkCashSettlementDetailsRule

(Rule)

Either IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

C8 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C10 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 DeliverersCustodianRule

(Rule)

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00394
- *Error Text:* DeliverersCustodianDetails must be present.

C12 DeliverersIntermediary1DetailsRule

(Rule)

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00395
- *Error Text:* DeliverersIntermediary1Details must be present.

C13 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C14 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C15 FeeElementRule

(Rule)

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C16 FeeTaxElementRule

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C17 IBAN

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C18 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C19 OrderOriginatorEligibility1Rule

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*

– *Error Text:*

C20 OrderOriginatorEligibility2Rule

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

C21 OrderOriginatorEligibility3Rule

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

C22 PersonElementRule

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

C23 PhysicalDeliveryDetails1Rule

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed. (CrossElementComplexRule)

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00396

– *Error Text:* PhysicalDeliveryDetails is not allowed.

C24 PhysicalDeliveryDetails2Rule

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present. (CrossElementComplexRule)

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00397

– *Error Text:* PhysicalDeliveryDetails must be present.

C25 ReceiversCustodianRule

(Rule)

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00392
- *Error Text:* ReceiversCustodianDetails must be present.

C26 ReceiversIntermediary1DetailsRule

(Rule)

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00393
- *Error Text:* ReceiversIntermediary1Details must be present.

C27 RequestedSettlementCurrencyRule

(Rule)

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualOrderDetails/SettlementAmount, if present.

C28 SeriesElementRule

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C29 SettlementCurrencyRule

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

C30 StandardFeeAmountCalculation

(Rule)

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C31 StandardFeeRateCalculation

(Rule)

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C32 WaiverElementRule

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

44.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

44.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

44.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

44.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

44.4.4 BulkOrderDetails <BlkOrdrDtls>

Presence: [1..1]

Definition: General information related to the orders.

Impacted by: [C7 BulkCashSettlementDetailsRule](#), [C27 RequestedSettlementCurrencyRule](#), [C29 SettlementCurrencyRule](#)

BulkOrderDetails <BlkOrdrDtls> contains the following **RedemptionBulkOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		891
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		891
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		891
	ExpiryDateTime <XpryDtTm>	[0..1]	±		891
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		891
	CancellationRight <CxlRght>	[0..1]	±		892
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C18	892
	IndividualOrderDetails <IndvOrdrDtls>	[1..*]		C21, C23, C24	893
	OrderReference <OrdrRef>	[1..1]	Text		896
	ClientReference <ClntRef>	[0..1]	Text		896
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	896
	OrderType <OrdrTp>	[0..10]	±		896
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C22	897
	AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>	[1..1]			897
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		898
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	898
Or	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	899
Or}	HoldingsRedemptionRate <HldgsRedRate>	[1..1]	Rate		899
	Rounding <Rndg>	[0..1]	CodeSet		900
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C3, C10	900
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		900
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		901
	ForeignExchangeDetails <FXDtls>	[0..1]	±		901
	IncomePreference <IncmPref>	[0..1]	CodeSet		902
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		902
	TransactionOverhead <TxOvrhd>	[0..1]		C16	902
	CommercialAgreementReference <ComrclAgrmtRef>	[0..1]	Text		903

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	903
	IndividualTax <IndvTax>	[0..*]	±		905
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		906
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		908
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		908
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		908
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		909
	StaffClientBreakdown <StffCintBrkdown>	[0..4]	±		910
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		910
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		910
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	910
	Equalisation <Equlstn>	[0..1]	±		911
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		911
	TransactionChannelType <TxChanITp>	[0..1]	±		912
	SignatureType <SgntrTp>	[0..1]	±		912
	OrderWaiverDetails <OrdWrvrDtls>	[0..1]	±	C32	912
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	913
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C4	913
	TotalSettlementAmount <TtlSttlmAmt>	[0..1]	Amount	C3, C10	914
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]	±		914

Constraints

- **BulkCashSettlementDetailsRule**

(Rule)

Either IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **RequestedSettlementCurrencyRule**

(Rule)

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualOrderDetails/SettlementAmount, if present.

- **SettlementCurrencyRule**

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

44.4.4.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text on page 3409](#)

44.4.4.2 PlaceOfTrade <PlcOfTrad>

Presence: [0..1]

Definition: Market in which the advised trade transaction was executed.

PlaceOfTrade <PlcOfTrad> contains one of the following elements (see [PlaceOfTradeIdentification1Choice on page 2350](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	2350
Or	Exchange <Xchg>	[1..1]	IdentifierSet		2351
Or	Party <Pty>	[1..1]	IdentifierSet	C7	2351
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		2351

44.4.4.3 OrderDateTime <OrdrDtTm>

Presence: [0..1]

Definition: Date and time the order is placed by the investor or its agent.

Datatype: [ISODateTime on page 3391](#)

44.4.4.4 ExpiryDateTime <XpryDtTm>

Presence: [0..1]

Definition: Date on which the order expires.

ExpiryDateTime <XpryDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

44.4.4.5 RequestedFutureTradeDate <ReqdFutrTradDt>

Presence: [0..1]

Definition: Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

Datatype: [ISODate](#) on page 3391

44.4.4.6 CancellationRight <CxIRght>

Presence: [0..1]

Definition: Cancellation right of the investor with respect to the investment fund order.

CancellationRight <CxIRght> contains one of the following elements (see [CancellationRight1Choice](#) on page 2386 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2386
Or}	Proprietary <Prtry>	[1..1]	±		2386

44.4.4.7 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class related to the order.

Impacted by: [C18 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57](#) on page 1894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**
(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

44.4.4.8 IndividualOrderDetails <IndvOrdrDtIs>

Presence: [1..*]

Definition: Instruction from an investor to sell investment fund units back to the fund.

Impacted by: C21 OrderOriginatorEligibility3Rule, C23 PhysicalDeliveryDetails1Rule, C24 PhysicalDeliveryDetails2Rule

IndividualOrderDetails <IndvOrdrDtls> contains the following **RedemptionOrder15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		896
	ClientReference <ClntRef>	[0..1]	Text		896
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	896
	OrderType <OrdrTp>	[0..10]	±		896
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C22	897
	AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>	[1..1]			897
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		898
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	898
Or	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	899
Or}	HoldingsRedemptionRate <HldgsRedRate>	[1..1]	Rate		899
	Rounding <Rndg>	[0..1]	CodeSet		900
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C3, C10	900
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		900
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		901
	ForeignExchangeDetails <FXDtls>	[0..1]	±		901
	IncomePreference <IncmPref>	[0..1]	CodeSet		902
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		902
	TransactionOverhead <TxOvrhd>	[0..1]		C16	902
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		903
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	903
	IndividualTax <IndvTax>	[0..*]	±		905
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		906
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		908
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		908
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		908
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		909
	StaffClientBreakdown <StffClntBrkdwn>	[0..4]	±		910
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		910

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		910
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	910
	Equalisation <Equlstrn>	[0..1]	±		911
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		911
	TransactionChannelType <TxChanlTp>	[0..1]	±		912
	SignatureType <SgntrTp>	[0..1]	±		912
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±	C32	912

Constraints

- **OrderOriginatorEligibility3Rule**

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **PhysicalDeliveryDetails1Rule**

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

 /PhysicalDeliveryDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

- **PhysicalDeliveryDetails2Rule**

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

 /PhysicalDeliveryDetails Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

44.4.4.8.1 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

44.4.4.8.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

44.4.4.8.3 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [1..1]

Definition: Account impacted by the investment fund order.

Impacted by: [C20 OrderOriginatorEligibility2Rule](#)

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58 on page 2149](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

44.4.4.8.4 OrderType <OrdrTp>

Presence: [0..10]

Definition: Category of the investment fund order.

OrderType <OrdrTp> contains one of the following elements (see [FundOrderType4Choice](#) on page 2335 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2336
Or}	Proprietary <Prtry>	[1..1]	±		2336

44.4.4.8.5 BeneficiaryDetails <BnfcryDtls>

Presence: [0..*]

Definition: Additional information about the investor.

Impacted by: [C22 PersonElementRule](#)

BeneficiaryDetails <BnfcryDtls> contains the following elements (see [IndividualPerson32](#) on page 2807 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2808
	BirthDate <BirthDt>	[0..1]	Date		2808
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2808
	OtherIdentification <OthrlId>	[0..*]			2808
	Identification <Id>	[1..1]	Text		2809
	IdentificationType <IdTp>	[1..1]			2809
{Or	Code <Cd>	[1..1]	CodeSet		2809
Or}	Proprietary <Prtry>	[1..1]	±		2810
	Issuer <Issr>	[0..1]	Text		2810

Constraints

- **PersonElementRule**

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

44.4.4.8.6 AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>

Presence: [1..1]

Definition: Amount of money or the number of units or percentage to be redeemed for the redemption order.

AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg> contains one of the following **FinancialInstrumentQuantity28Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		898
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	898
Or	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	899
Or}	HoldingsRedemptionRate <HldgsRedRate>	[1..1]	Rate		899

44.4.4.8.6.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Number of investment fund units redeemed.

Datatype: DecimalNumber on page 3405

44.4.4.8.6.2 GrossAmount <GrssAmt>

Presence: [1..1]

Definition: Amount of money to be redeemed from the fund.

Gross Amount = Quantity * Price.

Impacted by: C4 ActiveOrHistoricCurrency, C9 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

44.4.4.8.6.3 NetAmount <NetAmt>

Presence: [1..1]

Definition: Amount of money to be received following redemption of fund units.

Net Amount = (Quantity * Price) - (Fees + Taxes).

Impacted by: C4 ActiveOrHistoricCurrency, C9 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

44.4.4.8.6.4 HoldingsRedemptionRate <HldgsRedRate>

Presence: [1..1]

Definition: Portion of the investor's holdings to be redeemed.

Datatype: PercentageRate on page 3406

44.4.4.8.7 Rounding <Rndg>

Presence: [0..1]

Definition: Indicates the rounding direction applied to nearest unit.

Datatype: RoundingDirection2Code on page 3347

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

44.4.4.8.8 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

Impacted by: C3 ActiveCurrency , C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

44.4.4.8.9 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: [ISODate on page 3391](#)

44.4.4.8.10 SettlementMethod <StlmMtd>

Presence: [0..1]

Definition: Method by which the transaction is settled.

Datatype: [DeliveryReceiptType2Code on page 3270](#)

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

44.4.4.8.11 ForeignExchangeDetails <FXDtIs>

Presence: [0..1]

Definition: Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms32](#) on page 1986 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1987
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1987
	ExchangeRate <XchgRate>	[1..1]	Rate		1988
	QuotationDate <QtnDt>	[0..1]	DateTime		1988
	QuotingInstitution <QtgInstn>	[0..1]	±		1988

44.4.4.8.12 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference1Code](#) on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

44.4.4.8.13 Group1Or2Units <Grp1Or2Units>

Presence: [0..1]

Definition: Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

Datatype: [UKTaxGroupUnit1Code](#) on page 3390

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

44.4.4.8.14 TransactionOverhead <TxOvrhd>

Presence: [0..1]

Definition: Fees (charges/commission) and tax to be applied to the gross amount.

Impacted by: [C16 FeeTaxElementRule](#)

TransactionOverhead <TxOvrhd> contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		903
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	903
	IndividualTax <IndvTax>	[0..*]	±		905

Constraints

- **FeeTaxElementRule**

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

44.4.4.8.14.1 CommercialAgreementReference <ComrcIAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

44.4.4.8.14.2 IndividualFee <IndvFee>

Presence: [0..*]

Definition: Individual fee (charge/commission).

Impacted by: C15 FeeElementRule, C30 StandardFeeAmountCalculation, C31 StandardFeeRateCalculation

IndividualFee <IndvFee> contains the following elements (see [Fee1](#) on page 1783 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1785
{Or	Code <Cd>	[1..1]	CodeSet		1785
Or}	Proprietary <Prtry>	[1..1]	±		1786
	Basis <Bsis>	[0..1]			1786
{Or	Code <Cd>	[1..1]	CodeSet		1787
Or}	Proprietary <Prtry>	[1..1]	±		1787
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1787
	StandardRate <StdRate>	[0..1]	Rate		1788
	DiscountDetails <DscntDtls>	[0..1]		C14	1788
	Amount <Amt>	[0..1]	Amount	C2, C10	1789
	Rate <Rate>	[0..1]	Rate		1790
	Basis <Bsis>	[0..1]			1790
{Or	Code <Cd>	[1..1]	CodeSet		1790
Or}	Proprietary <Prtry>	[1..1]	±		1791
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C2, C10	1791
	RequestedRate <ReqdRate>	[0..1]	Rate		1792
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1792
	RecipientIdentification <RcptId>	[0..1]	±		1792

Constraints

- **FeeElementRule**

(Rule)

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

- **StandardFeeAmountCalculation**

(Rule)

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **StandardFeeRateCalculation**

(Rule)

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

44.4.4.8.14.3 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Individual tax amount.

IndividualTax <IndvTax> contains the following elements (see [Tax30](#) on page 3116 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3117
{Or	Code <Cd>	[1..1]	CodeSet		3117
Or}	Proprietary <Prtry>	[1..1]	±		3119
	Tax <Tax>	[0..1]			3119
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	3119
Or}	Rate <Rate>	[1..1]	Rate		3120
	Country <Ctry>	[0..1]	CodeSet	C11	3120
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3120
	ExemptionReason <XmptnRsn>	[0..1]			3121
{Or	Code <Cd>	[1..1]	CodeSet		3121
Or}	Proprietary <Prtry>	[1..1]	±		3124
	RecipientIdentification <Rcptld>	[0..1]	±		3124
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3124
	Basis <Bsis>	[1..1]			3125
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3125

44.4.4.8.15 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

Presence: [0..1]

Definition: Parameters used to execute the settlement of an investment fund order.

SettlementAndCustodyDetails <SttlmAndCtdyDtls> contains the following elements (see FundSettlementParameters12 on page 2919 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2921
	SettlementPlace <SttlmPlc>	[1..1]	±		2921
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2921
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2922
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2922
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2922
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2922
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2924
	AccountIdentification <AcctId>	[0..1]	Text		2924
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2925
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2926
	PartyIdentification <PtyId>	[1..1]	±		2926
	AccountIdentification <AcctId>	[0..1]	Text		2926
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2926
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2928
	AccountIdentification <AcctId>	[0..1]	Text		2928
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2929
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrAgtDtls>	[1..1]			2930
	PartyIdentification <PtyId>	[1..1]	±		2930
	AccountIdentification <AcctId>	[0..1]	Text		2930

44.4.4.8.16 PhysicalDeliveryIndicator <PhysDlvryInd>

Presence: [1..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

44.4.4.8.17 PhysicalDeliveryDetails <PhysDlvryDtls>

Presence: [0..1]

Definition: Information related to the physical delivery of the securities.

PhysicalDeliveryDetails <PhysDlvryDtls> contains the following elements (see [DeliveryParameters3](#) on page 2826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2826
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2826

44.4.4.8.18 CashSettlementDetails <CshSttlmDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

CashSettlementDetails <CshSttlmDtls> contains the following elements (see [PaymentTransaction72](#) on page 2651 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2652
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2653
	Reference <Ref>	[0..1]	Text		2654
	Debtor <Dbtr>	[0..1]	±		2654
	DebtorAccount <DbtrAcct>	[0..1]	±		2654
	DebtorAgent <DbtrAgt>	[0..1]	±		2655
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2655
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2655
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2655
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2656
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2656
	CreditorAgent <CdtrAgt>	[1..1]	±		2656
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2656
	Creditor <Cdtr>	[0..1]	±		2657
	CreditorAccount <CdtrAcct>	[1..1]	±		2657
Or	ChequeDetails <ChqDtls>	[1..1]			2657
	Number <Nb>	[0..1]	Text		2658
	PayeeIdentification <Pyeeld>	[1..1]	±		2658
	DraweeIdentification <Drweeld>	[0..1]	±		2658
	DrawerIdentification <Drwrlid>	[0..1]	±		2658
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2659
	Number <Nb>	[0..1]	Text		2659
	PayeeIdentification <Pyeeld>	[1..1]	±		2659
	DraweeIdentification <Drweeld>	[0..1]	±		2659
	DrawerIdentification <Drwrlid>	[0..1]	±		2660
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2660
	AccountIdentification <AcctId>	[0..1]	Text		2660
	Type <Tp>	[0..1]	±		2661

44.4.4.8.19 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

Definition: Additional specific settlement information for non-regulated traded funds.

Datatype: [Max350Text](#) on page 3409

44.4.4.8.20 StaffClientBreakdown <StffCIntBrkdwn>

Presence: [0..4]

Definition: Breakdown of the net amount per type of order.

StaffClientBreakdown <StffCIntBrkdwn> contains the following elements (see [InvestmentFundsOrderBreakdown2](#) on page 2333 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	Amount <Amt>	[1..1]	Amount	C2, C10	2335

44.4.4.8.21 FinancialAdvice <FinAdvc>

Presence: [0..1]

Definition: Specifies if advice has been received from an independent financial advisor.

Datatype: [FinancialAdvice1Code](#) on page 3281

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

44.4.4.8.22 NegotiatedTrade <NgtdTrad>

Presence: [0..1]

Definition: Specifies whether the trade is negotiated.

Datatype: [NegotiatedTrade1Code](#) on page 3316

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

44.4.4.8.23 RelatedPartyDetails <RltdPtyDtls>

Presence: [0..10]

Definition: Party related to the transaction.

Impacted by: [C19 OrderOriginatorEligibility1Rule](#)

RelatedPartyDetails <RltdPtyDtIs> contains the following elements (see [Intermediary40](#) on page 2626 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2626
	Account <Acct>	[0..1]			2627
	Identification <Id>	[1..1]	Text		2627
	AccountServicer <AcctSvcr>	[0..1]	±		2627
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2627
	Role <Role>	[0..1]	±		2628

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

44.4.4.8.24 Equalisation <Equlstn>

Presence: [0..1]

Definition: Part of an investor's retained subscription amount that is returned by the fund in order to reimburse preliminary incentive/performance fees.

Equalisation <Equlstn> contains the following elements (see [Equalisation1](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2319
	Rate <Rate>	[0..1]	Rate		2320

44.4.4.8.25 CustomerConductClassification <CstmrCndctClssfctn>

Presence: [0..1]

Definition: Assessment of the customer's behaviour at the time of the account opening application.

CustomerConductClassification <CstmrCndctClsfctn> contains one of the following elements (see [CustomerConductClassification1Choice on page 2145](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2145
Or}	Proprietary <Prtry>	[1..1]	±		2146

44.4.4.8.26 TransactionChannelType <TxChanITp>

Presence: [0..1]

Definition: Means by which the investor or account owner submits the open account form.

TransactionChannelType <TxChanITp> contains one of the following elements (see [TransactionChannelType1Choice on page 2455](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2455
Or}	Proprietary <Prtry>	[1..1]	±		2455

44.4.4.8.27 SignatureType <SgntrTp>

Presence: [0..1]

Definition: Type of signature.

SignatureType <SgntrTp> contains one of the following elements (see [SignatureType1Choice on page 2385](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2385
Or}	Proprietary <Prtry>	[1..1]	±		2385

44.4.4.8.28 OrderWaiverDetails <OrdrWvrDtls>

Presence: [0..1]

Definition: Information about a non-standard order.

Impacted by: [C32 WaiverElementRule](#)

OrderWaiverDetails <OrdrWvrDtls> contains the following elements (see [OrderWaiver1 on page 2318](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			2318
{Or	Code <Cd>	[1..1]	CodeSet		2318
Or}	Proprietary <Prtry>	[1..1]	±		2319
	InformationValue <InfVal>	[0..1]	Text		2319

Constraints

- **WaiverElementRule**

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

44.4.4.9 RequestedSettlementCurrency <ReqdSttlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: C3 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

44.4.4.10 RequestedNAVCurrency <ReqdNAVCcy>

Presence: [0..1]

Definition: Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

Impacted by: C4 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

44.4.4.11 TotalSettlementAmount <TtlSttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

44.4.4.12 BulkCashSettlementDetails <BlkCshSttlmDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

BulkCashSettlementDetails <BlkCshSttlmDtls> contains the following elements (see [PaymentTransaction72 on page 2651](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2652
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2653
	Reference <Ref>	[0..1]	Text		2654
	Debtor <Dbtr>	[0..1]	±		2654
	DebtorAccount <DbtrAcct>	[0..1]	±		2654
	DebtorAgent <DbtrAgt>	[0..1]	±		2655
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2655
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2655
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2655
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2656
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2656
	CreditorAgent <CdtrAgt>	[1..1]	±		2656
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2656
	Creditor <Cdtr>	[0..1]	±		2657
	CreditorAccount <CdtrAcct>	[1..1]	±		2657
Or	ChequeDetails <ChqDtls>	[1..1]			2657
	Number <Nb>	[0..1]	Text		2658
	PayeeIdentification <Pyeeld>	[1..1]	±		2658
	DraweeIdentification <Drweeld>	[0..1]	±		2658
	DrawerIdentification <Drwrlid>	[0..1]	±		2658
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2659
	Number <Nb>	[0..1]	Text		2659
	PayeeIdentification <Pyeeld>	[1..1]	±		2659
	DraweeIdentification <Drweeld>	[0..1]	±		2659
	DrawerIdentification <Drwrlid>	[0..1]	±		2660
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2660
	AccountIdentification <AcctId>	[0..1]	Text		2660
	Type <Tp>	[0..1]	±		2661

44.4.5 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	2395

44.4.6 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C14 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

45 MX setr.002.001.04 RedemptionBulkOrderCancellationRequestV04

45.1 MessageDefinition Functionality

Scope

The RedemptionBulkOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent RedemptionBulkOrder.

Usage

The RedemptionBulkOrderCancellationRequest message is used to request the cancellation of one or more individual orders.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more individual orders, the order reference of each individual order listed in the original RedemptionBulkOrder message is specified in the order reference element. The message identification of the RedemptionBulkOrder message which contains the individual orders to be cancelled may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a RedemptionBulkOrderCancellationRequest is made using an OrderCancellationStatusReport message.

Outline

The RedemptionBulkOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. MasterReference
Reference assigned to a set of orders or trades in order to link them together.
- E. OrderReferences
Identification of the individual order to be cancelled.
- F. CopyDetails

Information provided when the message is a copy of a previous message.

45.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedBlkOrdxCxlReq>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		919
	PoolReference <PoolRef>	[0..1]	±		919
	PreviousReference <PrvsRef>	[0..1]	±		919
	MasterReference <MstrRef>	[0..1]	Text		920
	OrderReferences <OrdRefs>	[1..*]			920
	OrderReference <OrdRef>	[1..1]	Text		920
	ClientReference <ClntRef>	[0..1]	Text		920
	CancellationReference <CxlRef>	[0..1]	Text		920
	CancellationReason <CxlRsn>	[0..1]	±		921
	CopyDetails <CpyDtls>	[0..1]	±		921

45.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

45.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

45.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

45.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9 on page 2005](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

45.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

45.4.4 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text](#) on page 3409

45.4.5 OrderReferences <OrdrRefs>

Presence: [1..*]

Definition: Identification of the individual order to be cancelled.

OrderReferences <OrdrRefs> contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		920
	ClientReference <ClntRef>	[0..1]	Text		920
	CancellationReference <CxIRef>	[0..1]	Text		920
	CancellationReason <CxIRsn>	[0..1]	±		921

45.4.5.1 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text](#) on page 3409

45.4.5.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text](#) on page 3409

45.4.5.3 CancellationReference <CxIRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

Datatype: Max35Text on page 3409

45.4.5.4 CancellationReason <CxIRsn>

Presence: [0..1]

Definition: Reason for the cancellation.

CancellationReason <CxIRsn> contains one of the following elements (see [CancellationReason32Choice](#) on page 2384 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		2384
Or}	Proprietary <Prtry>	[1..1]	±		2384

45.4.6 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	2395

46 MX setr.003.001.02 RedemptionBulkOrderConfirmationV02

46.1 MessageDefinition Functionality

Scope

The RedemptionBulkOrderConfirmation message is sent by an executing party, eg, a transfer agent, to an instructing party, eg, an investment manager or its authorised representative. There may be one or more intermediary parties between the executing party and the instructing party. The intermediary party is, for example, an intermediary or a concentrator.

This message is used to confirm the details of the execution of a RedemptionBulkOrder message.

Usage

The RedemptionBulkOrderConfirmation message is sent, after the price has been determined, to confirm the execution of all individual orders.

There is usually one bulk confirmation message for one bulk order message.

A RedemptionBulkOrder must in all cases be responded to by a RedemptionBulkOrderConfirmation and in no circumstances by a RedemptionMultipleOrderConfirmation.

If the executing party needs to confirm a RedemptionMultipleOrder message, then the RedemptionMultipleOrderConfirmation message must be used.

Outline

The RedemptionBulkOrderConfirmationV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. MasterReference
Reference assigned to a set of orders or trades in order to link them together.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. RelatedReference
Reference to a linked message that was previously received.
- E. BulkExecutionDetails
General information related to the execution of investment fund orders.
- F. IntermediaryDetails
Information related to an intermediary.
- G. CopyDetails
Information provided when the message is a copy of a previous message.

H. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

46.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <setr.003.001.02>	[1..1]		C1	
	MasterReference <MstrRef>	[0..1]	±		931
	PoolReference <PoolRef>	[0..1]	±		931
	PreviousReference <PrvsRef>	[0..*]	±		932
	RelatedReference <RltdRef>	[1..1]	±		932
	BulkExecutionDetails <BlkExctnDtls>	[1..1]		C5, C27	932
	PlaceOfTrade <PlcOfTrad>	[0..1]	CodeSet	C6	936
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		937
	CancellationRight <CxlRght>	[0..1]	±	C12	937
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C10	937
	IndividualExecutionDetails <IndvExctnDtls>	[1..*]		C25	938
	OrderReference <OrdrRef>	[1..1]	Text		942
	DealReference <DealRef>	[1..1]	Text		942
	OrderType <OrdrTp>	[0..*]		C13	942
	Structured <Strd>	[1..1]	CodeSet		942
	AdditionalInformation <AddtlInf>	[0..1]	Text		943
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±		943
	BeneficiaryDetails <BnfcryDtls>	[0..1]			943
	Name <Nm>	[0..1]	Text		944
	BirthDate <BirthDt>	[0..1]	Date		944
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		944
	OtherIdentification <OthrlD>	[0..*]			944
	Identification <Id>	[1..1]	Text		945
	IdentificationType <IdTp>	[1..1]		C14	945
	Structured <Strd>	[1..1]	CodeSet		945
	AdditionalInformation <AddtlInf>	[0..1]	Text		946
	Issuer <Issr>	[0..1]	Text		946
	UnitsNumber <UnitsNb>	[1..1]	±		946
	Rounding <Rndg>	[0..1]	CodeSet		946

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[1..1]	Amount	C2, C7	947
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		947
	GrossAmount <GrssAmt>	[0..1]	Amount	C2, C7	947
	TradeDateTime <TradDtTm>	[1..1]	±		948
	PriceDetails <PricDtls>	[1..1]			948
	Type <Tp>	[1..1]		C15	949
	Structured <Strd>	[1..1]	CodeSet		949
	AdditionalInformation <AddtlInf>	[0..1]	Text		950
	Value <Val>	[1..1]	±		951
	PriceMethod <PricMtd>	[0..1]	CodeSet		951
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		951
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]			951
{Or	Amount <Amt>	[1..1]	Amount	C28	952
Or}	UnitPrice <UnitPric>	[1..1]			952
	Type <Tp>	[1..1]	CodeSet		952
	Value <Val>	[1..1]	±		952
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]		C16	952
	Structured <Strd>	[1..1]	CodeSet		953
	AdditionalInformation <AddtlInf>	[0..1]	Text		953
	PartiallyExecutedIndicator <PrtyllyExctdInd>	[1..1]	Indicator		953
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		953
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		954
	ForeignExchangeDetails <FXDtls>	[0..*]	±		954
	IncomePreference <IncmPref>	[0..1]	CodeSet		954
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		955
	ChargeGeneralDetails <ChrgGnlDtls>	[0..1]			955
	TotalAmountOfCharges <TtlAmtOfChrgs>	[0..1]	Amount	C2	955
	ChargeDetails <ChrgDtls>	[1..*]	±		956
	CommissionGeneralDetails <ComssnGnlDtls>	[0..1]			956
	TotalAmountOfCommissions <TtlAmtOfComssns>	[0..1]	Amount	C2	956

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	CommissionDetails <ComssnDtls>	[1..*]	±		957
	TaxGeneralDetails <TaxGnlDtls>	[0..1]			957
	TotalAmountOfTaxes <TtlAmtOfTxs>	[0..1]	Amount	C2	958
	TaxDetails <TaxDtls>	[1..*]	±		958
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]			959
	SettlementDate <SttlmDt>	[0..1]	Date		960
	SettlementPlace <SttlmPlc>	[1..1]	±		960
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		961
	SecuritiesSettlementSystemIdentification <SciesSttlmSysId>	[0..1]	Text		961
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C26	961
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			962
	PartyIdentification <PtyId>	[1..1]	±		962
	AccountIdentification <AcctId>	[0..1]	±		963
	ReceiversIntermediaryDetails <RcvrsIntrmyDtls>	[0..1]			963
	PartyIdentification <PtyId>	[1..1]	±		963
	AccountIdentification <AcctId>	[0..1]	±		963
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			964
	PartyIdentification <PtyId>	[1..1]	±		964
	AccountIdentification <AcctId>	[0..1]	±		964
	DeliveringSideDetails <DlvrSdDtls>	[1..1]		C8	964
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			965
	PartyIdentification <PtyId>	[1..1]	±		965
	AccountIdentification <AcctId>	[0..1]	±		966
	DeliverersIntermediaryDetails <DlvrrsIntrmyDtls>	[0..1]			966
	PartyIdentification <PtyId>	[1..1]	±		966
	AccountIdentification <AcctId>	[0..1]	±		966
	DeliveringAgentDetails <DlvrAgtDtls>	[1..1]			967
	PartyIdentification <PtyId>	[1..1]	±		967
	AccountIdentification <AcctId>	[0..1]	±		967
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		967
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		968

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDetails <CshStlmDtls>	[0..1]			968
	SettlementAmount <StlmAmt>	[0..1]	Amount	C2, C7	968
	SettlementDate <StlmDt>	[0..1]	Date		969
	PaymentInstrument <PmtInstrm>	[1..1]			969
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]	±		969
Or	ChequeDetails <ChqDtls>	[1..1]	±		970
Or}	AccountDetails <AcctDtls>	[1..1]	±		970
	RequestedSettlementCurrency <ReqdStlmCcy>	[0..1]	CodeSet	C28	971
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C28	971
	BulkCashSettlementDetails <BlkCshStlmDtls>	[0..1]			971
	SettlementAmount <StlmAmt>	[0..1]	Amount	C2, C7	972
	SettlementDate <StlmDt>	[0..1]	Date		972
	PaymentInstrument <PmtInstrm>	[1..1]			972
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]	±		973
Or	ChequeDetails <ChqDtls>	[1..1]	±		973
Or}	AccountDetails <AcctDtls>	[1..1]	±		974
	IntermediaryDetails <IntrmyDtls>	[0..10]	±		974
	CopyDetails <CpyDtls>	[0..1]			974
	CopyIndicator <CpyInd>	[1..1]	Indicator		974
	OriginalReceiver <OrgnlRcvr>	[1..1]	±		975
	Extension <Xtnsn>	[0..*]	±	C9	975

46.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountIdentificationRule

(Rule)

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in BulkExecutionDetails/ IndividualExecutionDetails/InvestmentAccountDetails must be UNKNOWN.

This constraint is defined at the MessageDefinition level.

C2 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C3 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C4 BIC

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid BIC Code

C5 BulkCashSettlementDetails6Rule

(Rule)

Either IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

C6 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C7 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C8 DeliverersCustodianRule

(Rule)

If DeliverersIntermediaryDetails is present, then DeliverersCustodianDetails must also be present. If DeliverersIntermediaryDetails is not present then DeliverersCustodianDetails is optional.

C9 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C10 FinancialInstrumentIdentificationGuideline

(Guideline)

It is recommended that ISIN be used in Identification\SecurityIdentification1Choice.

C11 IBAN

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits

C12 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C13 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C14 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C15 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C16 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C17 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C18 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C19 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C20 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C21 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C22 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C23 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C24 OtherCodeRule

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

C25 PhysicalDeliveryDetailsRule

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed. If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

C26 ReceiversCustodianRule

(Rule)

If ReceiversIntermediaryDetails is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediaryDetails is not present, then ReceiversCustodianDetails is optional.

C27 SettlementCurrency1Rule

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/ NetAmount and GrossAmount must be the same in all occurrences of IndividualExecutionDetails.

C28 ValidationByTable

(Rule)

Must be a valid currency code which is registered with the ISO 4217 Maintenance Agency, and consist of three contiguous letters. (Algorithm)

46.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

46.4.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

MasterReference <MstrRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

46.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

46.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

46.4.4 RelatedReference <RltdRef>

Presence: [1..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference3](#) on page 2022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

46.4.5 BulkExecutionDetails <BlkExctnDtls>

Presence: [1..1]

Definition: General information related to the execution of investment fund orders.

Impacted by: [C5 BulkCashSettlementDetails6Rule](#), [C27 SettlementCurrency1Rule](#)

BulkExecutionDetails <BkExctnDtls> contains the following **RedemptionBulkExecution2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceOfTrade <PlcOfTrad>	[0..1]	CodeSet	C6	936
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		937
	CancellationRight <CxlRght>	[0..1]	±	C12	937
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C10	937
	IndividualExecutionDetails <IndvExctnDtls>	[1..*]		C25	938
	OrderReference <OrdrRef>	[1..1]	Text		942
	DealReference <DealRef>	[1..1]	Text		942
	OrderType <OrdrTp>	[0..*]		C13	942
	Structured <Strd>	[1..1]	CodeSet		942
	AdditionalInformation <AddtlInf>	[0..1]	Text		943
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±		943
	BeneficiaryDetails <BnfcryDtls>	[0..1]			943
	Name <Nm>	[0..1]	Text		944
	BirthDate <BirthDt>	[0..1]	Date		944
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		944
	OtherIdentification <OthrlId>	[0..*]			944
	Identification <Id>	[1..1]	Text		945
	IdentificationType <IdTp>	[1..1]		C14	945
	Structured <Strd>	[1..1]	CodeSet		945
	AdditionalInformation <AddtlInf>	[0..1]	Text		946
	Issuer <Issr>	[0..1]	Text		946
	UnitsNumber <UnitsNb>	[1..1]	±		946
	Rounding <Rndg>	[0..1]	CodeSet		946
	NetAmount <NetAmt>	[1..1]	Amount	C2, C7	947
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		947
	GrossAmount <GrssAmt>	[0..1]	Amount	C2, C7	947
	TradeDateTime <TradDtTm>	[1..1]	±		948
	PriceDetails <PricDtls>	[1..1]			948
	Type <Tp>	[1..1]		C15	949
	Structured <Strd>	[1..1]	CodeSet		949

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalInformation <AddtlInf>	[0..1]	Text		950
	Value <Val>	[1..1]	±		951
	PriceMethod <PricMtd>	[0..1]	CodeSet		951
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		951
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]			951
{Or	Amount <Amt>	[1..1]	Amount	C28	952
Or}	UnitPrice <UnitPric>	[1..1]			952
	Type <Tp>	[1..1]	CodeSet		952
	Value <Val>	[1..1]	±		952
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]		C16	952
	Structured <Strd>	[1..1]	CodeSet		953
	AdditionalInformation <AddtlInf>	[0..1]	Text		953
	PartiallyExecutedIndicator <PrtyExctdInd>	[1..1]	Indicator		953
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		953
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		954
	ForeignExchangeDetails <FXDtls>	[0..*]	±		954
	IncomePreference <IncmPref>	[0..1]	CodeSet		954
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		955
	ChargeGeneralDetails <ChrgGnlDtls>	[0..1]			955
	TotalAmountOfCharges <TtlAmtOfChrgs>	[0..1]	Amount	C2	955
	ChargeDetails <ChrgDtls>	[1..*]	±		956
	CommissionGeneralDetails <ComssnGnlDtls>	[0..1]			956
	TotalAmountOfCommissions <TtlAmtOfComssns>	[0..1]	Amount	C2	956
	CommissionDetails <ComssnDtls>	[1..*]	±		957
	TaxGeneralDetails <TaxGnlDtls>	[0..1]			957
	TotalAmountOfTaxes <TtlAmtOfTxs>	[0..1]	Amount	C2	958
	TaxDetails <TaxDtls>	[1..*]	±		958
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]			959
	SettlementDate <SttlmDt>	[0..1]	Date		960
	SettlementPlace <SttlmPlc>	[1..1]	±		960
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		961

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		961
	ReceivingSideDetails <RcvgSdDtIs>	[0..1]		C26	961
	ReceiversCustodianDetails <RcvrsCtdnDtIs>	[0..1]			962
	PartyIdentification <PtyId>	[1..1]	±		962
	AccountIdentification <AcctId>	[0..1]	±		963
	ReceiversIntermediaryDetails <RcvrsIntrmyDtIs>	[0..1]			963
	PartyIdentification <PtyId>	[1..1]	±		963
	AccountIdentification <AcctId>	[0..1]	±		963
	ReceivingAgentDetails <RcvgAgtDtIs>	[1..1]			964
	PartyIdentification <PtyId>	[1..1]	±		964
	AccountIdentification <AcctId>	[0..1]	±		964
	DeliveringSideDetails <DlvrSdDtIs>	[1..1]		C8	964
	DeliverersCustodianDetails <DlvrrsCtdnDtIs>	[0..1]			965
	PartyIdentification <PtyId>	[1..1]	±		965
	AccountIdentification <AcctId>	[0..1]	±		966
	DeliverersIntermediaryDetails <DlvrrsIntrmyDtIs>	[0..1]			966
	PartyIdentification <PtyId>	[1..1]	±		966
	AccountIdentification <AcctId>	[0..1]	±		966
	DeliveringAgentDetails <DlvrAgtDtIs>	[1..1]			967
	PartyIdentification <PtyId>	[1..1]	±		967
	AccountIdentification <AcctId>	[0..1]	±		967
	PhysicalDeliveryIndicator <PhysDlvrYnd>	[1..1]	Indicator		967
	PhysicalDeliveryDetails <PhysDlvrYDtIs>	[0..1]	±		968
	CashSettlementDetails <CshSttlmDtIs>	[0..1]			968
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C7	968
	SettlementDate <SttlmDt>	[0..1]	Date		969
	PaymentInstrument <PmtInstrm>	[1..1]			969
{Or	CreditTransferDetails <CdtTrfDtIs>	[1..1]	±		969
Or	ChequeDetails <ChqDtIs>	[1..1]	±		970
Or}	AccountDetails <AcctDtIs>	[1..1]	±		970
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C28	971

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C28	971
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]			971
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C7	972
	SettlementDate <SttlmDt>	[0..1]	Date		972
	PaymentInstrument <PmtInstrm>	[1..1]			972
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]	±		973
Or	ChequeDetails <ChqDtls>	[1..1]	±		973
Or}	AccountDetails <AcctDtls>	[1..1]	±		974

Constraints

- **BulkCashSettlementDetails6Rule**

(Rule)

Either IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **SettlementCurrency1Rule**

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/NetAmount and GrossAmount must be the same in all occurrences of IndividualExecutionDetails.

46.4.5.1 PlaceOfTrade <PlcOfTrad>

Presence: [0..1]

Definition: Market in which the advised trade transaction was executed.

Impacted by: C6 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004

– *Error Text:* Invalid Country Code.

46.4.5.2 OrderDateTime <OrdrDtTm>

Presence: [0..1]

Definition: Date and time at which the order was placed by the investor.

Datatype: [ISODateTime on page 3391](#)

46.4.5.3 CancellationRight <CxIRght>

Presence: [0..1]

Definition: Cancellation right of an investor with respect to an investment fund order.

Impacted by: [C12 OtherCodeRule](#)

CancellationRight <CxIRght> contains the following elements (see [CancellationRight1 on page 1707](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		1707
	AdditionalInformation <AddtlInf>	[0..1]	Text		1707

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

46.4.5.4 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class to which an investment fund order execution is related.

Impacted by: [C10 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument6 on page 1906](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1906
	Name <Nm>	[0..1]	Text		1907
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1907
	ClassType <ClsTp>	[0..1]	Text		1907
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1907
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1908
	ProductGroup <PdctGrp>	[0..1]	Text		1908

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityIdentification1Choice.

46.4.5.5 IndividualExecutionDetails <IndvExctnDtls>

Presence: [1..*]

Definition: Execution of a redemption order.

Impacted by: C25 PhysicalDeliveryDetailsRule

IndividualExecutionDetails <IndvExctnDtls> contains the following **RedemptionExecution3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		942
	DealReference <DealRef>	[1..1]	Text		942
	OrderType <OrdrTp>	[0..*]		C13	942
	Structured <Strd>	[1..1]	CodeSet		942
	AdditionalInformation <AddtlInf>	[0..1]	Text		943
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±		943
	BeneficiaryDetails <BnfcryDtls>	[0..1]			943
	Name <Nm>	[0..1]	Text		944
	BirthDate <BirthDt>	[0..1]	Date		944
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		944
	OtherIdentification <OthrlId>	[0..*]			944
	Identification <Id>	[1..1]	Text		945
	IdentificationType <IdTp>	[1..1]		C14	945
	Structured <Strd>	[1..1]	CodeSet		945
	AdditionalInformation <AddtlInf>	[0..1]	Text		946
	Issuer <Issr>	[0..1]	Text		946
	UnitsNumber <UnitsNb>	[1..1]	±		946
	Rounding <Rndg>	[0..1]	CodeSet		946
	NetAmount <NetAmt>	[1..1]	Amount	C2, C7	947
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		947
	GrossAmount <GrssAmt>	[0..1]	Amount	C2, C7	947
	TradeDateTime <TradDtTm>	[1..1]	±		948
	PriceDetails <PricDtls>	[1..1]			948
	Type <Tp>	[1..1]		C15	949
	Structured <Strd>	[1..1]	CodeSet		949
	AdditionalInformation <AddtlInf>	[0..1]	Text		950
	Value <Val>	[1..1]	±		951
	PriceMethod <PricMtd>	[0..1]	CodeSet		951
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		951

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]			951
{Or	Amount <Amt>	[1..1]	Amount	C28	952
Or}	UnitPrice <UnitPric>	[1..1]			952
	Type <Tp>	[1..1]	CodeSet		952
	Value <Val>	[1..1]	±		952
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]		C16	952
	Structured <Strd>	[1..1]	CodeSet		953
	AdditionalInformation <AddtlInf>	[0..1]	Text		953
	PartiallyExecutedIndicator <PrtlyExctdInd>	[1..1]	Indicator		953
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		953
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		954
	ForeignExchangeDetails <FXDtls>	[0..*]	±		954
	IncomePreference <IncmPref>	[0..1]	CodeSet		954
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		955
	ChargeGeneralDetails <ChrgGnlDtls>	[0..1]			955
	TotalAmountOfCharges <TtlAmtOfChrgs>	[0..1]	Amount	C2	955
	ChargeDetails <ChrgDtls>	[1..*]	±		956
	CommissionGeneralDetails <ComssnGnlDtls>	[0..1]			956
	TotalAmountOfCommissions <TtlAmtOfComssns>	[0..1]	Amount	C2	956
	CommissionDetails <ComssnDtls>	[1..*]	±		957
	TaxGeneralDetails <TaxGnlDtls>	[0..1]			957
	TotalAmountOfTaxes <TtlAmtOfTaxes>	[0..1]	Amount	C2	958
	TaxDetails <TaxDtls>	[1..*]	±		958
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]			959
	SettlementDate <SttlmDt>	[0..1]	Date		960
	SettlementPlace <SttlmPlc>	[1..1]	±		960
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		961
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysld>	[0..1]	Text		961
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C26	961
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			962
	PartyIdentification <Ptyld>	[1..1]	±		962

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	±		963
	ReceiversIntermediaryDetails <RcvrsIntrmyDtls>	[0..1]			963
	PartyIdentification <PtyId>	[1..1]	±		963
	AccountIdentification <AcctId>	[0..1]	±		963
	ReceivingAgentDetails <RcvrgAgtDtls>	[1..1]			964
	PartyIdentification <PtyId>	[1..1]	±		964
	AccountIdentification <AcctId>	[0..1]	±		964
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C8	964
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			965
	PartyIdentification <PtyId>	[1..1]	±		965
	AccountIdentification <AcctId>	[0..1]	±		966
	DeliverersIntermediaryDetails <DlvrrsIntrmyDtls>	[0..1]			966
	PartyIdentification <PtyId>	[1..1]	±		966
	AccountIdentification <AcctId>	[0..1]	±		966
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			967
	PartyIdentification <PtyId>	[1..1]	±		967
	AccountIdentification <AcctId>	[0..1]	±		967
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		967
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		968
	CashSettlementDetails <CshSttlmDtls>	[0..1]			968
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C7	968
	SettlementDate <SttlmDt>	[0..1]	Date		969
	PaymentInstrument <PmtInstrm>	[1..1]			969
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]	±		969
Or	ChequeDetails <ChqDtls>	[1..1]	±		970
Or}	AccountDetails <AcctDtls>	[1..1]	±		970

Constraints

- **PhysicalDeliveryDetailsRule**
 (Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed. If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

46.4.5.5.1 OrderReference <OrdRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for an order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

46.4.5.5.2 DealReference <DealRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for an order execution, as assigned by a confirming party.

Datatype: [Max35Text on page 3409](#)

46.4.5.5.3 OrderType <OrdTp>

Presence: [0..*]

Definition: Specifies the category of the investment fund order.

Impacted by: [C13 OtherCodeRule](#)

OrderType <OrdTp> contains the following **FundOrderType1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		942
	AdditionalInformation <AddtlInf>	[0..1]	Text		943

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

46.4.5.5.3.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: [FundOrderType2Code on page 3284](#)

CodeName	Name	Definition
BEDB	BedAndBreakfast	Investment fund order is part of a bed and breakfast transaction.
INVP	InvestmentPlan	Investment fund order is related to an investment plan (only applicable to a subscription).
PREA	PreAdvice	Investment fund order is executed with specific pre-advice conditions.
STAF	StaffOrder	Investment fund order is a staff order.

CodeName	Name	Definition
RGSV	RegularSavingsPlan	Investment fund order is a regular savings plan (only applicable to a subscription).
OTHR	Other	Another type of investment fund order.

46.4.5.5.3.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the type of identification.

Datatype: [Max350Text on page 3409](#)

46.4.5.5.4 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [1..1]

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount13 on page 2023](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		2023
	AccountName <AcctNm>	[0..1]	Text		2023
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2024
	OwnerIdentification <OwnrId>	[0..*]	±		2024
	AccountServicer <AcctSvcr>	[0..1]	±		2024

46.4.5.5.5 BeneficiaryDetails <BnfcryDtls>

Presence: [0..1]

Definition: Additional information about the investor.

BeneficiaryDetails <BnfcryDtIs> contains the following **IndividualPerson2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		944
	BirthDate <BirthDt>	[0..1]	Date		944
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		944
	OtherIdentification <OthrlId>	[0..*]			944
	Identification <Id>	[1..1]	Text		945
	IdentificationType <IdTp>	[1..1]		C14	945
	Structured <Strd>	[1..1]	CodeSet		945
	AdditionalInformation <AddtlInf>	[0..1]	Text		946
	Issuer <Issr>	[0..1]	Text		946

46.4.5.5.5.1 Name <Nm>

Presence: [0..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: Max350Text on page 3409

46.4.5.5.5.2 BirthDate <BirthDt>

Presence: [0..1]

Definition: Date on which a person is born.

Datatype: ISODate on page 3391

46.4.5.5.5.3 CountryAndResidentialStatus <CtryAndResdtlSts>

Presence: [0..1]

Definition: Country and residential status of an individual, for example, non-permanent resident.

CountryAndResidentialStatus <CtryAndResdtlSts> contains the following elements (see CountryAndResidentialStatusType1 on page 2815 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2816
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		2816

46.4.5.5.5.4 OtherIdentification <OthrlId>

Presence: [0..*]

Definition: Alternative identification, for example, national registration identification number, passport number, or an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CFP) account as required for Singapore.

OtherIdentification <Othrlid> contains the following **GenericIdentification8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		945
	IdentificationType <IdTp>	[1..1]		C14	945
	Structured <Strd>	[1..1]	CodeSet		945
	AdditionalInformation <AddtlInf>	[0..1]	Text		946
	Issuer <Issr>	[0..1]	Text		946

46.4.5.5.5.4.1 Identification <Id>

Presence: [1..1]

Definition: Name or number assigned by an entity to enable recognition of that entity, eg, account identifier.

Datatype: Max35Text on page 3409

46.4.5.5.5.4.2 IdentificationType <IdTp>

Presence: [1..1]

Definition: Specifies the nature of the identifier.

Impacted by: C14 OtherCodeRule

IdentificationType <IdTp> contains the following **IdentificationType1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		945
	AdditionalInformation <AddtlInf>	[0..1]	Text		946

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

46.4.5.5.5.4.2.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: PersonIdentificationType1Code on page 3326

CodeName	Name	Definition
PASS	PassportNumber	Number assigned by a passport authority to a passport.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).

CodeName	Name	Definition
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
OTHR	Other	Another type of identification type.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.

46.4.5.5.4.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the type of identification.

Datatype: [Max350Text on page 3409](#)

46.4.5.5.4.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identifier.

Datatype: [Max35Text on page 3409](#)

46.4.5.5.6 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Number of investment funds units redeemed.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1 on page 2910](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

46.4.5.5.7 Rounding <Rndg>

Presence: [0..1]

Definition: Indicates the rounding direction applied to nearest unit.

Datatype: [RoundingDirection2Code on page 3347](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.

CodeName	Name	Definition
RDWN	RoundDown	Round down to the nearest whole number.

46.4.5.5.8 NetAmount <NetAmt>

Presence: [1..1]

Definition: Net amount of money paid to the investor as a result of the redemption.

Impacted by: C2 ActiveCurrency __, C7 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

46.4.5.5.9 HoldingsRedemptionRate <HldgsRedRate>

Presence: [0..1]

Definition: Portion of the investor's holdings, in a specific investment fund/ fund class, that is redeemed.

Datatype: PercentageRate on page 3406

46.4.5.5.10 GrossAmount <GrssAmt>

Presence: [0..1]

Definition: Amount of money paid to the investor as a result of the redemption, including all charges, commissions, and tax.

Impacted by: C2 ActiveCurrency __, C7 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

46.4.5.5.11 TradeDateTime <TradDtTm>

Presence: [1..1]

Definition: Date and time at which a price is applied, according to the terms stated in the prospectus.

TradeDateTime <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

46.4.5.5.12 PriceDetails <PricDtIs>

Presence: [1..1]

Definition: Price at which the order was executed.

PriceDetails <PricDtls> contains the following **UnitPrice5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]		C15	949
	Structured <Strd>	[1..1]	CodeSet		949
	AdditionalInformation <AddtlInf>	[0..1]	Text		950
	Value <Val>	[1..1]	±		951
	PriceMethod <PricMtd>	[0..1]	CodeSet		951
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		951
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]			951
{Or	Amount <Amt>	[1..1]	Amount	C28	952
Or}	UnitPrice <UnitPric>	[1..1]			952
	Type <Tp>	[1..1]	CodeSet		952
	Value <Val>	[1..1]	±		952
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]		C16	952
	Structured <Strd>	[1..1]	CodeSet		953
	AdditionalInformation <AddtlInf>	[0..1]	Text		953

46.4.5.5.12.1 Type <Tp>

Presence: [1..1]

Definition: Type and information about a price.

Impacted by: C15 OtherCodeRule

Type <Tp> contains the following **PriceType1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		949
	AdditionalInformation <AddtlInf>	[0..1]	Text		950

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

46.4.5.5.12.1.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: TypeOfPrice7Code on page 3387

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
OTHR	Other	Price is another type of price, which is not explicitly defined.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.

46.4.5.5.12.1.2 AdditionalInformation <AddtInf>

Presence: [0..1]

Definition: Additional information about the type of charge.

Datatype: [Max350Text](#) on page 3409

46.4.5.5.12.2 Value <Val>

Presence: [1..1]

Definition: Value of the price, eg, as a currency and value.

Value <Val> contains the following elements (see [PriceValue1](#) on page 2894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2894

46.4.5.5.12.3 PriceMethod <PricMtd>

Presence: [0..1]

Definition: Type of pricing calculation method.

Datatype: [PriceMethod1Code](#) on page 3330

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

46.4.5.5.12.4 NumberOfDaysAccrued <NbOfDaysAcrd>

Presence: [0..1]

Definition: Specifies the number of days used for calculating the accrued interest amount.

Datatype: [Number](#) on page 3405

46.4.5.5.12.5 TaxableIncomePerShare <TaxblIncmPerShr>

Presence: [0..1]

Definition: Amount included in the NAV that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

TaxableIncomePerShare <TaxblIncmPerShr> contains one of the following **AmountPrice1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C28	952
Or}	UnitPrice <UnitPric>	[1..1]			952
	Type <Tp>	[1..1]	CodeSet		952
	Value <Val>	[1..1]	±		952

46.4.5.5.12.5.1 Amount <Amt>

Presence: [1..1]

Definition: Amount.

Impacted by: [C28 ValidationByTable](#)

Datatype: [CurrencyAndAmount](#) on page 3240

Constraints

- **ValidationByTable**

(Rule)

Must be a valid currency code which is registered with the ISO 4217 Maintenance Agency, and consist of three contiguous letters.

46.4.5.5.12.5.2 UnitPrice <UnitPric>

Presence: [1..1]

Definition: Amount expressed as a unit price.

UnitPrice <UnitPric> contains the following **UnitPrice4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		952
	Value <Val>	[1..1]	±		952

46.4.5.5.12.5.2.1 Type <Tp>

Presence: [1..1]

Definition: Type and information about a price.

Datatype: [TypeOfPrice8Code](#) on page 3388

CodeName	Name	Definition
ACTU	Actual	True offer price.

46.4.5.5.12.5.2.2 Value <Val>

Presence: [1..1]

Definition: Value of the price, eg, as a currency and value.

Value <Val> contains the following elements (see [PriceValue1](#) on page 2894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2894

46.4.5.5.12.6 TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>

Presence: [0..1]

Definition: Specifies whether the fund calculates a taxable interest per share (TIS).

Impacted by: [C16 OtherCodeRule](#)

TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd> contains the following **TaxableIncomePerShareCalculated1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		953
	AdditionalInformation <AddtlInf>	[0..1]	Text		953

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

46.4.5.5.12.6.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: TaxableIncomePerShareCalculated1Code on page 3359

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.
OTHR	Other	Another type of taxable income per share.

46.4.5.5.12.6.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the type of tax.

Datatype: Max350Text on page 3409

46.4.5.5.13 PartiallyExecutedIndicator <PrtlyExctdInd>

Presence: [1..1]

Definition: Indicates whether the order has been partially executed, ie, the confirmed quantity does not match the ordered quantity for a given financial instrument.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

46.4.5.5.14 CumDividendIndicator <CumDvddInd>

Presence: [1..1]

Definition: Indicates whether the dividend is included, ie, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

46.4.5.5.15 InterimProfitAmount <IntrmPrftAmt>

Presence: [0..1]

Definition: Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

InterimProfitAmount <IntrmPrftAmt> contains one of the following elements (see [ProfitAndLoss1Choice](#) on page 2861 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2	2861
Or}	Loss <Loss>	[1..1]	Amount	C2	2861

46.4.5.5.16 ForeignExchangeDetails <FXDtIs>

Presence: [0..*]

Definition: Information needed to process a currency exchange or conversion.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms4](#) on page 1977 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BuyAmount <BuyAmt>	[0..1]	Amount	C2	1977
	SellAmount <SellAmt>	[0..1]	Amount	C2, C10	1978
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C28	1978
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C28	1979
	ExchangeRate <XchgRate>	[1..1]	Rate		1979
	QuotationDate <QtnDt>	[0..1]	DateTime		1979
	QuotingInstitution <QtgInstn>	[0..1]	±		1979

46.4.5.5.17 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference1Code](#) on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

46.4.5.5.18 Group1Or2Units <Grp1Or2Units>

Presence: [0..1]

Definition: Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

Datatype: UKTaxGroupUnitCode on page 3390

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

46.4.5.5.19 ChargeGeneralDetails <ChrgGnDtls>

Presence: [0..1]

Definition: Amount of money associated with a service.

ChargeGeneralDetails <ChrgGnDtls> contains the following **TotalCharges2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalAmountOfCharges <TtlAmtOfChrgs>	[0..1]	Amount	C2	955
	ChargeDetails <ChrgDtls>	[1..*]	±		956

46.4.5.5.19.1 TotalAmountOfCharges <TtlAmtOfChrgs>

Presence: [0..1]

Definition: Total value of the charges for a specific order.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

46.4.5.5.19.2 ChargeDetails <ChrgDtls>

Presence: [1..*]

Definition: Information related to a specific charge.

ChargeDetails <ChrgDtls> contains the following elements (see [Charge10](#) on page 1738 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]		C17	1739
	Structured <Strd>	[1..1]	CodeSet		1739
	AdditionalInformation <AddtlInf>	[0..1]	Text		1740
	ChargeBasis <ChrgBsis>	[0..1]		C18	1740
	Structured <Strd>	[1..1]	CodeSet		1741
	AdditionalInformation <AddtlInf>	[0..1]	Text		1741
	Amount <Amt>	[1..1]	Amount	C2	1741
	Rate <Rate>	[0..1]	Rate		1742
	RecipientIdentification <RcptId>	[0..1]	±		1742

46.4.5.5.20 CommissionGeneralDetails <ComssnGnIDtls>

Presence: [0..1]

Definition: Amount of money due to a party as compensation for a service.

CommissionGeneralDetails <ComssnGnIDtls> contains the following **TotalCommissions2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalAmountOfCommissions <TtlAmtOfComssns>	[0..1]	Amount	C2	956
	CommissionDetails <ComssnDtls>	[1..*]	±		957

46.4.5.5.20.1 TotalAmountOfCommissions <TtlAmtOfComssns>

Presence: [0..1]

Definition: Total value of the commissions for a specific order.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

46.4.5.5.20.2 CommissionDetails <ComssnDtls>

Presence: [1..*]

Definition: Information related to a specific commission.

CommissionDetails <ComssnDtls> contains the following elements (see [Commission6](#) on page 1813 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]		C19	1814
	Structured <Strd>	[1..1]	CodeSet		1814
	AdditionalInformation <AddtlInf>	[0..1]	Text		1814
	Basis <Bsis>	[0..1]		C18	1814
	Structured <Strd>	[1..1]	CodeSet		1815
	AdditionalInformation <AddtlInf>	[0..1]	Text		1815
	Amount <Amt>	[0..1]	Amount	C2	1815
	Rate <Rate>	[0..1]	Rate		1816
	RecipientIdentification <RcptId>	[0..1]	±		1816
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1816
	WaivingDetails <WvgDtls>	[0..1]			1816
	InstructionBasis <InstrBsis>	[1..1]		C20	1816
	Structured <Strd>	[1..1]	CodeSet		1817
	AdditionalInformation <AddtlInf>	[0..1]	Text		1817
	WaivedRate <WvdRate>	[1..1]	Rate		1817

46.4.5.5.21 TaxGeneralDetails <TaxGnlDtls>

Presence: [0..1]

Definition: Tax related to an investment fund order.

TaxGeneralDetails <TaxGnlDtls> contains the following **TotalTaxes2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalAmountOfTaxes <TtlAmtOfTxs>	[0..1]	Amount	C2	958
	TaxDetails <TaxDtls>	[1..*]	±		958

46.4.5.5.21.1 TotalAmountOfTaxes <TtlAmtOfTxs>

Presence: [0..1]

Definition: Total value of the taxes for a specific order.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

46.4.5.5.21.2 TaxDetails <TaxDtls>

Presence: [1..*]

Definition: Information related to a specific tax.

TaxDetails <TaxDtls> contains the following elements (see [Tax7](#) on page 3131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]		C21	3132
	Structured <Strd>	[1..1]	CodeSet		3133
	AdditionalInformation <AddtlInf>	[0..1]	Text		3134
	Amount <Amt>	[1..1]	Amount	C2	3134
	Rate <Rate>	[0..1]	Rate		3134
	RecipientIdentification <Rcptld>	[0..1]	±		3135
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3135
	ExemptionReason <XmptnRsn>	[0..1]		C22	3135
	Structured <Strd>	[1..1]	CodeSet		3135
	AdditionalInformation <AddtlInf>	[0..1]	Text		3138
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3138
	Basis <Bsis>	[0..1]		C18	3139
	Structured <Strd>	[1..1]	CodeSet		3139
	AdditionalInformation <AddtlInf>	[0..1]	Text		3139
	EUCapitalGain <EUCptlGn>	[0..1]		C23	3140
	Structured <Strd>	[1..1]	CodeSet		3140
	AdditionalInformation <AddtlInf>	[0..1]	Text		3140
	TaxableAmount <TaxblAmt>	[0..1]	Amount	C2	3140

46.4.5.5.22 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

Presence: [0..1]

Definition: Parameters used to execute the settlement of an investment fund order.

SettlementAndCustodyDetails <SttlmAndCtdyDtls> contains the following
FundSettlementParameters3 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		960
	SettlementPlace <SttlmPlc>	[1..1]	±		960
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		961
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		961
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C26	961
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			962
	PartyIdentification <PtyId>	[1..1]	±		962
	AccountIdentification <AcctId>	[0..1]	±		963
	ReceiversIntermediaryDetails <RcvrsIntrmyDtls>	[0..1]			963
	PartyIdentification <PtyId>	[1..1]	±		963
	AccountIdentification <AcctId>	[0..1]	±		963
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			964
	PartyIdentification <PtyId>	[1..1]	±		964
	AccountIdentification <AcctId>	[0..1]	±		964
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C8	964
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			965
	PartyIdentification <PtyId>	[1..1]	±		965
	AccountIdentification <AcctId>	[0..1]	±		966
	DeliverersIntermediaryDetails <DlvrrsIntrmyDtls>	[0..1]			966
	PartyIdentification <PtyId>	[1..1]	±		966
	AccountIdentification <AcctId>	[0..1]	±		966
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			967
	PartyIdentification <PtyId>	[1..1]	±		967
	AccountIdentification <AcctId>	[0..1]	±		967

46.4.5.5.22.1 SettlementDate <SttlmDt>

Presence: [0..1]

Definition: Date and time at which the securities are to be delivered or received.

Datatype: ISODate on page 3391

46.4.5.5.22.2 SettlementPlace <SttlmPlc>

Presence: [1..1]

Definition: Place where the settlement of transaction will take place. In the context of the investment funds, the place of settlement is the transfer agent, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

SettlementPlace <SttlmPlc> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI/>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

46.4.5.5.22.3 SafekeepingPlace <SfkpgPlc>

Presence: [0..1]

Definition: Place requested as the place of safekeeping.

SafekeepingPlace <SfkpgPlc> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI/>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

46.4.5.5.22.4 SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>

Presence: [0..1]

Definition: Identifies the securities settlement system to be used.

Datatype: [Max35Text](#) on page 3409

46.4.5.5.22.5 ReceivingSideDetails <RcvgSdDtls>

Presence: [0..1]

Definition: Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.

Impacted by: [C26 ReceiversCustodianRule](#)

ReceivingSideDetails <RcvgSdDtIs> contains the following **ReceivingPartiesAndAccount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReceiversCustodianDetails <RcvrsCtdnDtIs>	[0..1]			962
	PartyIdentification <PtyId>	[1..1]	±		962
	AccountIdentification <AcctId>	[0..1]	±		963
	ReceiversIntermediaryDetails <RcvrsIntrmyDtIs>	[0..1]			963
	PartyIdentification <PtyId>	[1..1]	±		963
	AccountIdentification <AcctId>	[0..1]	±		963
	ReceivingAgentDetails <RcvgAgtDtIs>	[1..1]			964
	PartyIdentification <PtyId>	[1..1]	±		964
	AccountIdentification <AcctId>	[0..1]	±		964

Constraints

- **ReceiversCustodianRule**

(Rule)

If ReceiversIntermediaryDetails is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediaryDetails is not present, then ReceiversCustodianDetails is optional.

46.4.5.5.22.5.1 ReceiversCustodianDetails <RcvrsCtdnDtIs>

Presence: [0..1]

Definition: Party that acts on behalf of the buyer of securities when the buyer does not have a direct relationship with the receiving agent.

ReceiversCustodianDetails <RcvrsCtdnDtIs> contains the following **PartyIdentificationAndAccount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		962
	AccountIdentification <AcctId>	[0..1]	±		963

46.4.5.5.22.5.1.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <Ptyld> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

46.4.5.5.22.5.1.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

AccountIdentification <AcctId> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

46.4.5.5.22.5.2 ReceiversIntermediaryDetails <RcvrsIntrmyDtls>

Presence: [0..1]

Definition: Party that the Receiver's custodian uses to effect the receipt of a security, when the Receiver's custodian does not have a direct relationship with the Receiver agent.

ReceiversIntermediaryDetails <RcvrsIntrmyDtls> contains the following **PartyIdentificationAndAccount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		963
	AccountIdentification <AcctId>	[0..1]	±		963

46.4.5.5.22.5.2.1 PartyIdentification <Ptyld>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <Ptyld> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

46.4.5.5.22.5.2.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

AccountIdentification <AcctId> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

46.4.5.5.22.5.3 ReceivingAgentDetails <RcvgAgtDtIs>

Presence: [1..1]

Definition: Party that receives securities from the delivering agent at the place of settlement, eg, central securities depository.

ReceivingAgentDetails <RcvgAgtDtIs> contains the following **PartyIdentificationAndAccount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		964
	AccountIdentification <AcctId>	[0..1]	±		964

46.4.5.5.22.5.3.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

46.4.5.5.22.5.3.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

AccountIdentification <AcctId> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

46.4.5.5.22.6 DeliveringSideDetails <DlvrgSdDtIs>

Presence: [1..1]

Definition: Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.

Impacted by: C8 DeliverersCustodianRule

DeliveringSideDetails <DlvrgSdDtls> contains the following **DeliveringPartiesAndAccount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			965
	PartyIdentification <Ptyld>	[1..1]	±		965
	AccountIdentification <Acctld>	[0..1]	±		966
	DeliverersIntermediaryDetails <DlvrrsIntrmyDtls>	[0..1]			966
	PartyIdentification <Ptyld>	[1..1]	±		966
	AccountIdentification <Acctld>	[0..1]	±		966
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			967
	PartyIdentification <Ptyld>	[1..1]	±		967
	AccountIdentification <Acctld>	[0..1]	±		967

Constraints

- **DeliverersCustodianRule**

(Rule)

If DeliverersIntermediaryDetails is present, then DeliverersCustodianDetails must also be present. If DeliverersIntermediaryDetails is not present then DeliverersCustodianDetails is optional.

46.4.5.5.22.6.1 DeliverersCustodianDetails <DlvrrsCtdnDtls>

Presence: [0..1]

Definition: Party that acts on behalf of the seller of securities when the seller does not have a direct relationship with the delivering agent.

DeliverersCustodianDetails <DlvrrsCtdnDtls> contains the following **PartyIdentificationAndAccount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <Ptyld>	[1..1]	±		965
	AccountIdentification <Acctld>	[0..1]	±		966

46.4.5.5.22.6.1.1 PartyIdentification <Ptyld>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <Ptyld> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

46.4.5.5.22.6.1.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

AccountIdentification <AcctId> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

46.4.5.5.22.6.2 DeliverersIntermediaryDetails <DlvrrsIntrmyDtls>

Presence: [0..1]

Definition: Party that the deliverer's custodian uses to effect the delivery of a security, when the deliverer's custodian does not have a direct relationship with the delivering agent.

DeliverersIntermediaryDetails <DlvrrsIntrmyDtls> contains the following **PartyIdentificationAndAccount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		966
	AccountIdentification <AcctId>	[0..1]	±		966

46.4.5.5.22.6.2.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

46.4.5.5.22.6.2.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

AccountIdentification <AcctId> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

46.4.5.5.22.6.3 DeliveringAgentDetails <DlvrAgtDtls>

Presence: [1..1]

Definition: Party that delivers securities to the receiving agent at the place of settlement, eg, central securities depository.

DeliveringAgentDetails <DlvrAgtDtls> contains the following **PartyIdentificationAndAccount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		967
	AccountIdentification <AcctId>	[0..1]	±		967

46.4.5.5.22.6.3.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

46.4.5.5.22.6.3.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

AccountIdentification <AcctId> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

46.4.5.5.23 PhysicalDeliveryIndicator <PhysDlvryInd>

Presence: [1..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

46.4.5.5.24 PhysicalDeliveryDetails <PhysDlvryDtls>

Presence: [0..1]

Definition: Parameters of a physical delivery.

PhysicalDeliveryDetails <PhysDlvryDtls> contains the following elements (see [DeliveryParameters3](#) on page 2826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2826
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2826

46.4.5.5.25 CashSettlementDetails <CshSttlmDtls>

Presence: [0..1]

Definition: Payment transaction resulting from the investment fund order execution.

CashSettlementDetails <CshSttlmDtls> contains the following **PaymentTransaction18** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C7	968
	SettlementDate <SttlmDt>	[0..1]	Date		969
	PaymentInstrument <PmtInstrm>	[1..1]			969
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]	±		969
Or	ChequeDetails <ChqDtls>	[1..1]	±		970
Or}	AccountDetails <AcctDtls>	[1..1]	±		970

46.4.5.5.25.1 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Amount of money to be transferred between the debtor and creditor before bank transaction charges.

Impacted by: [C2 ActiveCurrency](#) , [C7 CurrencyAmount](#)

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**
(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

46.4.5.5.25.2 SettlementDate <SttlmDt>

Presence: [0..1]

Definition: Date on which the first agent expects the cash to be available to the final agent.

Datatype: ISODate on page 3391

46.4.5.5.25.3 PaymentInstrument <PmtInstrm>

Presence: [1..1]

Definition: Choice between types of payment instrument, ie, cheque, credit transfer or investment account.

PaymentInstrument <PmtInstrm> contains one of the following **PaymentInstrument7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]	±		969
Or	ChequeDetails <ChqDtls>	[1..1]	±		970
Or}	AccountDetails <AcctDtls>	[1..1]	±		970

46.4.5.5.25.3.1 CreditTransferDetails <CdtTrfDtls>

Presence: [1..1]

Definition: Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.

CreditTransferDetails <CdtTrfDtls> contains the following elements (see [CreditTransfer3](#) on page 1820 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		1820
	CreditorDetails <CdtrDtls>	[1..1]			1820
	Creditor <Cdtr>	[0..1]	±		1820
	AccountIdentification <AcctId>	[1..1]	±		1821
	FinalAgent <FnlAgt>	[1..1]	±		1821
	DebtorDetails <DbtrDtls>	[0..1]			1821
	Debtor <Dbtr>	[0..1]	±		1822
	AccountIdentification <AcctId>	[1..1]	±		1822
	FirstAgent <FrstAgt>	[1..1]	±		1822

46.4.5.5.25.3.2 ChequeDetails <ChqDtls>

Presence: [1..1]

Definition: Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

ChequeDetails <ChqDtls> contains the following elements (see [Cheque3](#) on page 1799 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		1799
	PayeeIdentification <Pyeeld>	[1..1]	±		1800
	DraweeIdentification <Drweeld>	[0..1]	±		1800
	DrawerIdentification <Drwrld>	[0..1]	±		1800

46.4.5.5.25.3.3 AccountDetails <AcctDtls>

Presence: [1..1]

Definition: Part of the investment account to or from which cash entries are made.

AccountDetails <AcctDtls> contains the following elements (see [InvestmentAccount15](#) on page 2155 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	±		2155
	Type <Tp>	[0..1]		C24	2155
	Structured <Strd>	[1..1]	CodeSet		2155
	AdditionalInformation <AddtlInf>	[0..1]	Text		2156

46.4.5.6 RequestedSettlementCurrency <ReqdStlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: [C28 ValidationByTable](#)

Datatype: [CurrencyCode](#) on page 3269

Constraints

- **ValidationByTable**

(Rule)

Must be a valid currency code which is registered with the ISO 4217 Maintenance Agency, and consist of three contiguous letters.

46.4.5.7 RequestedNAVCurrency <ReqdNAVCcy>

Presence: [0..1]

Definition: Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

Impacted by: [C28 ValidationByTable](#)

Datatype: [CurrencyCode](#) on page 3269

Constraints

- **ValidationByTable**

(Rule)

Must be a valid currency code which is registered with the ISO 4217 Maintenance Agency, and consist of three contiguous letters.

46.4.5.8 BulkCashSettlementDetails <BlkCshStlmDtls>

Presence: [0..1]

Definition: Payment transaction related to the execution of an investment fund transaction.

BulkCashSettlementDetails <BlkCshStlmDtls> contains the following **PaymentTransaction18** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementAmount <StlmAmt>	[0..1]	Amount	C2, C7	972
	SettlementDate <StlmDt>	[0..1]	Date		972
	PaymentInstrument <PmtInstrm>	[1..1]			972
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]	±		973
Or	ChequeDetails <ChqDtls>	[1..1]	±		973
Or}	AccountDetails <AcctDtls>	[1..1]	±		974

46.4.5.8.1 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Amount of money to be transferred between the debtor and creditor before bank transaction charges.

Impacted by: C2 ActiveCurrency , C7 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

46.4.5.8.2 SettlementDate <SttlmDt>

Presence: [0..1]

Definition: Date on which the first agent expects the cash to be available to the final agent.

Datatype: ISODate on page 3391

46.4.5.8.3 PaymentInstrument <PmtInstrm>

Presence: [1..1]

Definition: Choice between types of payment instrument, ie, cheque, credit transfer or investment account.

PaymentInstrument <PmtInstrm> contains one of the following **PaymentInstrument7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]	±		973
Or	ChequeDetails <ChqDtls>	[1..1]	±		973
Or}	AccountDetails <AcctDtls>	[1..1]	±		974

46.4.5.8.3.1 CreditTransferDetails <CdtTrfDtls>

Presence: [1..1]

Definition: Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.

CreditTransferDetails <CdtTrfDtls> contains the following elements (see [CreditTransfer3](#) on page 1820 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		1820
	CreditorDetails <CdtrDtls>	[1..1]			1820
	Creditor <Cdtr>	[0..1]	±		1820
	AccountIdentification <AcctId>	[1..1]	±		1821
	FinalAgent <FnIAgt>	[1..1]	±		1821
	DebtorDetails <DbtrDtls>	[0..1]			1821
	Debtor <Dbtr>	[0..1]	±		1822
	AccountIdentification <AcctId>	[1..1]	±		1822
	FirstAgent <FrstAgt>	[1..1]	±		1822

46.4.5.8.3.2 ChequeDetails <ChqDtls>

Presence: [1..1]

Definition: Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

ChequeDetails <ChqDtls> contains the following elements (see [Cheque3](#) on page 1799 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		1799
	PayeeIdentification <Pyeeld>	[1..1]	±		1800
	DraweeIdentification <Drweeld>	[0..1]	±		1800
	DrawerIdentification <Drwrlid>	[0..1]	±		1800

46.4.5.8.3.3 AccountDetails <AcctDtls>

Presence: [1..1]

Definition: Part of the investment account to or from which cash entries are made.

AccountDetails <AcctDtls> contains the following elements (see [InvestmentAccount15](#) on page 2155 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	±		2155
	Type <Tp>	[0..1]		C24	2155
	Structured <Strd>	[1..1]	CodeSet		2155
	AdditionalInformation <AddtlInf>	[0..1]	Text		2156

46.4.6 IntermediaryDetails <IntrmyDtls>

Presence: [0..10]

Definition: Information related to an intermediary.

IntermediaryDetails <IntrmyDtls> contains the following elements (see [Intermediary4](#) on page 2647 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2647
	Account <Acct>	[0..1]	±		2647
	Role <Role>	[0..1]	Text		2647

46.4.7 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following **CopyInformation1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		974
	OriginalReceiver <OrgnlRcvr>	[1..1]	±		975

46.4.7.1 CopyIndicator <CpyInd>

Presence: [1..1]

Definition: Indicates whether the message is a copy.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

46.4.7.2 OriginalReceiver <OrgnlRcvr>

Presence: [1..1]

Definition: Original receiver of the message, if this message is a copy.

OriginalReceiver <OrgnlRcvr> contains the following elements (see [BICIdentification1](#) on page 1843 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BIC <BIC>	[1..1]	IdentifierSet	C4	1843

46.4.8 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C9 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

47 **MX setr.004.001.04 RedemptionOrderV04**

47.1 **MessageDefinition Functionality**

Scope

The RedemptionOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the redemption of one or more financial instruments for one investment fund account.

Usage

The RedemptionOrder message is used to instruct single redemption orders, that is, a message containing one order for one financial instrument and related to one investment account. The RedemptionOrder message may also be used for multiple orders, that is, a message containing several orders related to the same investment account for different financial instruments.

For a single redemption order, the RedemptionOrder message, not the RedemptionBulkOrder message, must be used.

If there are redemption orders for the same financial instrument but for different accounts that are to be communicated in a single message, then the RedemptionBulkOrder message must be used.

Outline

The RedemptionOrderV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. **MessageIdentification**

Reference that uniquely identifies the message from a business application standpoint.

B. **PoolReference**

Collective reference identifying a set of messages.

C. **PreviousReference**

Reference to a linked message that was previously sent.

D. **MultipleOrderDetails**

General information related to the orders.

E. **CopyDetails**

Information provided when the message is a copy of a previous message.

F. **Extension**

Additional information that cannot be captured in the structured elements and/or any other specific block.

47.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedOrdr>	[1..1]		C2	
	MessageIdentification <MsgId>	[1..1]	±		986
	PoolReference <PoolRef>	[0..1]	±		986
	PreviousReference <PrvsRef>	[0..*]	±		986
	MultipleOrderDetails <MltplOrdrDtls>	[1..1]		C7, C21, C29, C32	986
	MasterReference <MstrRef>	[0..1]	Text		990
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		990
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		990
	ExpiryDateTime <XpryDtTm>	[0..1]	±		990
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		991
	CancellationRight <CxlRght>	[0..1]	±		991
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	991
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C22	992
	IndividualOrderDetails <IndvOrdrDtls>	[1..*]		C23, C24, C27	993
	OrderReference <OrdrRef>	[1..1]	Text		996
	ClientReference <ClntRef>	[0..1]	Text		996
	OrderType <OrdrTp>	[0..10]	±		996
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C18	996
	SubAccountForHolding <SubAcctForHldg>	[0..1]	±		997
	AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>	[1..1]			997
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		998
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	998
Or	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	999
Or}	HoldingsRedemptionRate <HldgsRedRate>	[1..1]	Rate		999
	Rounding <Rndg>	[0..1]	CodeSet		1000
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C3, C10	1000
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1000

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1001
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1001
	IncomePreference <IncmPref>	[0..1]	CodeSet		1002
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1002
	TransactionOverhead <TxOvrhd>	[0..1]		C16	1002
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1003
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	1003
	IndividualTax <IndvTax>	[0..*]	±		1005
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1006
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1008
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1008
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1008
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C4	1009
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1009
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1010
	StaffClientBreakdown <StffCIntBrkdwn>	[0..4]	±		1011
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1011
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1011
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1011
	Equalisation <Equlstn>	[0..1]	±		1012
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1012
	TransactionChannelType <TxChanlTp>	[0..1]	±		1013
	SignatureType <SgntrTp>	[0..1]	±		1013
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±	C33	1013
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]	±		1014
	TotalSettlementAmount <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1015
	CopyDetails <CpyDtls>	[0..1]	±		1016
	Extension <Xtnsn>	[0..*]	±	C14	1016

47.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountElementRule

(Rule)

Either AccountIdentification or Type must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C2 AccountIdentificationRule

(Rule)

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in MultipleOrderDetails/ InvestmentAccountDetails must be UNKNOWN.

This constraint is defined at the MessageDefinition level.

C3 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 BICFI

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C7 BulkCashSettlementDetailsRule

(Rule)

Either one or more occurrences of IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

C8 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007

- *Error Text:* Invalid currency code or too many decimal digits.

C10 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 DeliverersCustodianRule

(Rule)

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00394
- *Error Text:* DeliverersCustodianDetails must be present.

C12 DeliverersIntermediary1DetailsRule

(Rule)

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00395
- *Error Text:* DeliverersIntermediary1Details must be present.

C13 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C14 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C15 FeeElementRule

(Rule)

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C16 FeeTaxElementRule

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C17 IBAN

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C18 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C19 OrderOriginatorEligibility1Rule

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C20 OrderOriginatorEligibility2Rule

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

C21 OrderOriginatorEligibility3Rule

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualOrderDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

C22 PersonElementRule

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C23 PhysicalDeliveryDetails1Rule

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

C24 PhysicalDeliveryDetails2Rule

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397

- *Error Text:* PhysicalDeliveryDetails must be present.

C25 ReceiversCustodianRule

(Rule)

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00392
- *Error Text:* ReceiversCustodianDetails must be present.

C26 ReceiversIntermediary1DetailsRule

(Rule)

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00393
- *Error Text:* ReceiversIntermediary1Details must be present.

C27 RequestedSettlementCurrencyRule

(Rule)

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00398
- *Error Text:* RequestedSettlementCurrency must be the same Currency as in SettlementAmount.

C28 SeriesElementRule

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C29 SettlementCurrencyRule

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/
SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

C30 StandardFeeAmountCalculation

(Rule)

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then
StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C31 StandardFeeRateCalculation

(Rule)

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate
minus DiscountDetails/Rate must equal RequestedRate.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C32 TotalSettlementCurrencyRule

(Rule)

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/
SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C33 WaiverElementRule

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

47.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

47.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

47.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

47.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

47.4.4 MultipleOrderDetails <MltplOrdrDtls>

Presence: [1..1]

Definition: General information related to the orders.

Impacted by: C7 BulkCashSettlementDetailsRule, C21 OrderOriginatorEligibility3Rule, C29 SettlementCurrencyRule, C32 TotalSettlementCurrencyRule

MultipleOrderDetails <MltplOrdrDtls> contains the following **RedemptionMultipleOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		990
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		990
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		990
	ExpiryDateTime <XpryDtTm>	[0..1]	±		990
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		991
	CancellationRight <CxlRght>	[0..1]	±		991
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	991
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C22	992
	IndividualOrderDetails <IndvOrdrDtls>	[1..*]		C23, C24, C27	993
	OrderReference <OrdrRef>	[1..1]	Text		996
	ClientReference <ClntRef>	[0..1]	Text		996
	OrderType <OrdrTp>	[0..10]	±		996
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C18	996
	SubAccountForHolding <SubAcctForHldg>	[0..1]	±		997
	AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>	[1..1]			997
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		998
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	998
Or	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	999
Or}	HoldingsRedemptionRate <HldgsRedRate>	[1..1]	Rate		999
	Rounding <Rndg>	[0..1]	CodeSet		1000
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C3, C10	1000
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1000
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1001
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1001
	IncomePreference <IncmPref>	[0..1]	CodeSet		1002
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1002
	TransactionOverhead <TxOvrhd>	[0..1]		C16	1002
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1003

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	1003
	IndividualTax <IndvTax>	[0..*]	±		1005
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1006
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1008
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1008
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1008
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C4	1009
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1009
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1010
	StaffClientBreakdown <StffClntBrkdown>	[0..4]	±		1011
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1011
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1011
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1011
	Equalisation <Equlstn>	[0..1]	±		1012
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1012
	TransactionChannelType <TxChanITp>	[0..1]	±		1013
	SignatureType <SgntrTp>	[0..1]	±		1013
	OrderWaiverDetails <OrdWvrDtls>	[0..1]	±	C33	1013
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]	±		1014
	TotalSettlementAmount <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1015

Constraints

- **BulkCashSettlementDetailsRule**

(Rule)

Either one or more occurrences of IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **OrderOriginatorEligibility3Rule**

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualOrderDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **SettlementCurrencyRule**

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

- **TotalSettlementCurrencyRule**

(Rule)

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

47.4.4.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text on page 3409](#)

47.4.4.2 PlaceOfTrade <PlcOfTrad>

Presence: [0..1]

Definition: Market in which the advised trade transaction was executed.

PlaceOfTrade <PlcOfTrad> contains one of the following elements (see [PlaceOfTradeIdentification1Choice on page 2350](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	2350
Or	Exchange <Xchg>	[1..1]	IdentifierSet		2351
Or	Party <Pty>	[1..1]	IdentifierSet	C7	2351
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		2351

47.4.4.3 OrderDateTime <OrdrDtTm>

Presence: [0..1]

Definition: Date and time the order is placed by the investor or its agent.

Datatype: [ISODatetime on page 3391](#)

47.4.4.4 ExpiryDateTime <XpryDtTm>

Presence: [0..1]

Definition: Date on which the order expires.

ExpiryDateTime <XpryDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

47.4.4.5 RequestedFutureTradeDate <ReqdFutrTradDt>

Presence: [0..1]

Definition: Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

Datatype: [ISODate](#) on page 3391

47.4.4.6 CancellationRight <CxIRght>

Presence: [0..1]

Definition: Cancellation right of the investor with respect to the investment fund order.

CancellationRight <CxIRght> contains one of the following elements (see [CancellationRight1Choice](#) on page 2386 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2386
Or}	Proprietary <Prtry>	[1..1]	±		2386

47.4.4.7 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [1..1]

Definition: Account impacted by the investment fund order.

Impacted by: [C20 OrderOriginatorEligibility2Rule](#)

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58](#) on page 2149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

47.4.4.8 BeneficiaryDetails <BnfcryDtls>

Presence: [0..*]

Definition: Additional information about the investor.

Impacted by: [C22 PersonElementRule](#)

BeneficiaryDetails <BnfcryDtls> contains the following elements (see [IndividualPerson32](#) on page 2807 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2808
	BirthDate <BirthDt>	[0..1]	Date		2808
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2808
	OtherIdentification <OthrId>	[0..*]			2808
	Identification <Id>	[1..1]	Text		2809
	IdentificationType <IdTp>	[1..1]			2809
{Or	Code <Cd>	[1..1]	CodeSet		2809
Or}	Proprietary <Prtry>	[1..1]	±		2810
	Issuer <Issr>	[0..1]	Text		2810

Constraints

- **PersonElementRule**

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

47.4.4.9 IndividualOrderDetails <IndvOrdrDtls>

Presence: [1..*]

Definition: Instruction from an investor to sell investment fund units back to the fund.

Impacted by: C23 PhysicalDeliveryDetails1Rule, C24 PhysicalDeliveryDetails2Rule,
C27 RequestedSettlementCurrencyRule

IndividualOrderDetails <IndvOrdrDtls> contains the following **RedemptionOrder14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		996
	ClientReference <ClntRef>	[0..1]	Text		996
	OrderType <OrdrTp>	[0..10]	±		996
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C18	996
	SubAccountForHolding <SubAcctForHldg>	[0..1]	±		997
	AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>	[1..1]			997
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		998
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	998
Or	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	999
Or}	HoldingsRedemptionRate <HldgsRedRate>	[1..1]	Rate		999
	Rounding <Rndg>	[0..1]	CodeSet		1000
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C3, C10	1000
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1000
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1001
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1001
	IncomePreference <IncmPref>	[0..1]	CodeSet		1002
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1002
	TransactionOverhead <TxOvrhd>	[0..1]		C16	1002
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1003
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	1003
	IndividualTax <IndvTax>	[0..*]	±		1005
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1006
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1008
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1008
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1008
	RequestedNAVCurrency <ReqdNAVCCcy>	[0..1]	CodeSet	C4	1009
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1009
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1010

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StaffClientBreakdown <StffClntBrkdwn>	[0..4]	±		1011
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1011
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1011
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1011
	Equalisation <Equlstn>	[0..1]	±		1012
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1012
	TransactionChannelType <TxChanITp>	[0..1]	±		1013
	SignatureType <SgntrTp>	[0..1]	±		1013
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±	C33	1013

Constraints

- **PhysicalDeliveryDetails1Rule**

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

 /PhysicalDeliveryDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

- **PhysicalDeliveryDetails2Rule**

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

 /PhysicalDeliveryDetails Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

- **RequestedSettlementCurrencyRule**

(Rule)

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

On Condition

/RequestedSettlementCurrency is present

And /SettlementAmount is present

Following Must be True

/RequestedSettlementCurrency Must be equal to /SettlementAmount/
 attribute::Currency

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00398
- *Error Text:* RequestedSettlementCurrency must be the same Currency as in SettlementAmount.

47.4.4.9.1 OrderReference <OrdRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

47.4.4.9.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

47.4.4.9.3 OrderType <OrdTp>

Presence: [0..10]

Definition: Category of the investment fund order.

OrderType <OrdTp> contains one of the following elements (see [FundOrderType4Choice on page 2335](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2336
Or}	Proprietary <Prtry>	[1..1]	±		2336

47.4.4.9.4 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class related to the order.

Impacted by: [C18 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57](#) on page 1894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

47.4.4.9.5 SubAccountForHolding <SubAcctForHldg>

Presence: [0..1]

Definition: Subdivision of the account used to segregate specific holdings.

SubAccountForHolding <SubAcctForHldg> contains the following elements (see [SubAccount6](#) on page 2144 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2145
	Name <Nm>	[0..1]	Text		2145
	Characteristic <Chrtc>	[0..1]	Text		2145
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2145

47.4.4.9.6 AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>

Presence: [1..1]

Definition: Amount of money or the number of units or percentage to be redeemed for the redemption order.

AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg> contains one of the following **FinancialInstrumentQuantity28Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		998
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	998
Or	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	999
Or}	HoldingsRedemptionRate <HldgsRedRate>	[1..1]	Rate		999

47.4.4.9.6.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Number of investment fund units redeemed.

Datatype: DecimalNumber on page 3405

47.4.4.9.6.2 GrossAmount <GrssAmt>

Presence: [1..1]

Definition: Amount of money to be redeemed from the fund.

Gross Amount = Quantity * Price.

Impacted by: C4 ActiveOrHistoricCurrency, C9 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

47.4.4.9.6.3 NetAmount <NetAmt>

Presence: [1..1]

Definition: Amount of money to be received following redemption of fund units.

Net Amount = (Quantity * Price) - (Fees + Taxes).

Impacted by: C4 ActiveOrHistoricCurrency, C9 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

47.4.4.9.6.4 HoldingsRedemptionRate <HldgsRedRate>

Presence: [1..1]

Definition: Portion of the investor's holdings to be redeemed.

Datatype: PercentageRate on page 3406

47.4.4.9.7 Rounding <Rndg>

Presence: [0..1]

Definition: Indicates the rounding direction applied to nearest unit.

Datatype: RoundingDirection2Code on page 3347

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

47.4.4.9.8 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

Impacted by: C3 ActiveCurrency , C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

47.4.4.9.9 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: [ISODate on page 3391](#)

47.4.4.9.10 SettlementMethod <StlmMtd>

Presence: [0..1]

Definition: Method by which the transaction is settled.

Datatype: [DeliveryReceiptType2Code on page 3270](#)

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

47.4.4.9.11 ForeignExchangeDetails <FXDtIs>

Presence: [0..1]

Definition: Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms32](#) on page 1986 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1987
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1987
	ExchangeRate <XchgRate>	[1..1]	Rate		1988
	QuotationDate <QtnDt>	[0..1]	DateTime		1988
	QuotingInstitution <QtgInstn>	[0..1]	±		1988

47.4.4.9.12 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference1Code](#) on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

47.4.4.9.13 Group1Or2Units <Grp1Or2Units>

Presence: [0..1]

Definition: Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

Datatype: [UKTaxGroupUnit1Code](#) on page 3390

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

47.4.4.9.14 TransactionOverhead <TxOvrhd>

Presence: [0..1]

Definition: Fees (charges/commission) and tax to be applied to the gross amount.

Impacted by: [C16 FeeTaxElementRule](#)

TransactionOverhead <TxOvrhd> contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1003
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	1003
	IndividualTax <IndvTax>	[0..*]	±		1005

Constraints

- **FeeTaxElementRule**

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

47.4.4.9.14.1 CommercialAgreementReference <ComrcIAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

47.4.4.9.14.2 IndividualFee <IndvFee>

Presence: [0..*]

Definition: Individual fee (charge/commission).

Impacted by: C15 FeeElementRule, C30 StandardFeeAmountCalculation, C31 StandardFeeRateCalculation

IndividualFee <IndvFee> contains the following elements (see [Fee1](#) on page 1783 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1785
{Or	Code <Cd>	[1..1]	CodeSet		1785
Or}	Proprietary <Prtry>	[1..1]	±		1786
	Basis <Bsis>	[0..1]			1786
{Or	Code <Cd>	[1..1]	CodeSet		1787
Or}	Proprietary <Prtry>	[1..1]	±		1787
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1787
	StandardRate <StdRate>	[0..1]	Rate		1788
	DiscountDetails <DscntDtls>	[0..1]		C14	1788
	Amount <Amt>	[0..1]	Amount	C2, C10	1789
	Rate <Rate>	[0..1]	Rate		1790
	Basis <Bsis>	[0..1]			1790
{Or	Code <Cd>	[1..1]	CodeSet		1790
Or}	Proprietary <Prtry>	[1..1]	±		1791
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C2, C10	1791
	RequestedRate <ReqdRate>	[0..1]	Rate		1792
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1792
	RecipientIdentification <RcptId>	[0..1]	±		1792

Constraints

- **FeeElementRule**

(Rule)

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

- **StandardFeeAmountCalculation**

(Rule)

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **StandardFeeRateCalculation**

(Rule)

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

47.4.4.9.14.3 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Individual tax amount.

IndividualTax <IndvTax> contains the following elements (see [Tax30](#) on page 3116 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3117
{Or	Code <Cd>	[1..1]	CodeSet		3117
Or}	Proprietary <Prtry>	[1..1]	±		3119
	Tax <Tax>	[0..1]			3119
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	3119
Or}	Rate <Rate>	[1..1]	Rate		3120
	Country <Ctry>	[0..1]	CodeSet	C11	3120
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3120
	ExemptionReason <XmptnRsn>	[0..1]			3121
{Or	Code <Cd>	[1..1]	CodeSet		3121
Or}	Proprietary <Prtry>	[1..1]	±		3124
	RecipientIdentification <Rcptld>	[0..1]	±		3124
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3124
	Basis <Bsis>	[1..1]			3125
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3125

47.4.4.9.15 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

Presence: [0..1]

Definition: Parameters used to execute the settlement of an investment fund order.

SettlementAndCustodyDetails <SttlmAndCtdyDtls> contains the following elements (see FundSettlementParameters12 on page 2919 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2921
	SettlementPlace <SttlmPlc>	[1..1]	±		2921
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2921
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2922
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2922
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2922
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2922
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2924
	AccountIdentification <AcctId>	[0..1]	Text		2924
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2925
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2926
	PartyIdentification <PtyId>	[1..1]	±		2926
	AccountIdentification <AcctId>	[0..1]	Text		2926
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2926
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2928
	AccountIdentification <AcctId>	[0..1]	Text		2928
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2929
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2930
	PartyIdentification <PtyId>	[1..1]	±		2930
	AccountIdentification <AcctId>	[0..1]	Text		2930

47.4.4.9.16 PhysicalDeliveryIndicator <PhysDlvryInd>

Presence: [1..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

47.4.4.9.17 PhysicalDeliveryDetails <PhysDlvryDtls>

Presence: [0..1]

Definition: Information related to the physical delivery of the securities.

PhysicalDeliveryDetails <PhysDlvryDtls> contains the following elements (see [DeliveryParameters3](#) on page 2826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2826
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2826

47.4.4.9.18 RequestedSettlementCurrency <ReqdSttImCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: [C3 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode](#) on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

47.4.4.9.19 RequestedNAVCurrency <ReqdNAVCcy>

Presence: [0..1]

Definition: Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

Impacted by: C4 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

47.4.4.9.20 CashSettlementDetails <CshSttlmDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

CashSettlementDetails <CshSttlmDtls> contains the following elements (see [PaymentTransaction72](#) on page 2651 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2652
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2653
	Reference <Ref>	[0..1]	Text		2654
	Debtor <Dbtr>	[0..1]	±		2654
	DebtorAccount <DbtrAcct>	[0..1]	±		2654
	DebtorAgent <DbtrAgt>	[0..1]	±		2655
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2655
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2655
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2655
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2656
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2656
	CreditorAgent <CdtrAgt>	[1..1]	±		2656
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2656
	Creditor <Cdtr>	[0..1]	±		2657
	CreditorAccount <CdtrAcct>	[1..1]	±		2657
Or	ChequeDetails <ChqDtls>	[1..1]			2657
	Number <Nb>	[0..1]	Text		2658
	PayeeIdentification <Pyeeld>	[1..1]	±		2658
	DraweeIdentification <Drweeld>	[0..1]	±		2658
	DrawerIdentification <Drwrlid>	[0..1]	±		2658
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2659
	Number <Nb>	[0..1]	Text		2659
	PayeeIdentification <Pyeeld>	[1..1]	±		2659
	DraweeIdentification <Drweeld>	[0..1]	±		2659
	DrawerIdentification <Drwrlid>	[0..1]	±		2660
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2660
	AccountIdentification <AcctId>	[0..1]	Text		2660
	Type <Tp>	[0..1]	±		2661

47.4.4.9.21 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

Definition: Additional specific settlement information for non-regulated traded funds.

Datatype: [Max350Text](#) on page 3409

47.4.4.9.22 StaffClientBreakdown <StffCIntBrkdwn>

Presence: [0..4]

Definition: Breakdown of the net amount per type of order.

StaffClientBreakdown <StffCIntBrkdwn> contains the following elements (see [InvestmentFundsOrderBreakdown2](#) on page 2333 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	Amount <Amt>	[1..1]	Amount	C2, C10	2335

47.4.4.9.23 FinancialAdvice <FinAdvc>

Presence: [0..1]

Definition: Specifies if advice has been received from an independent financial advisor.

Datatype: [FinancialAdvice1Code](#) on page 3281

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

47.4.4.9.24 NegotiatedTrade <NgtdTrad>

Presence: [0..1]

Definition: Specifies whether the trade is negotiated.

Datatype: [NegotiatedTrade1Code](#) on page 3316

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

47.4.4.9.25 RelatedPartyDetails <RltdPtyDtls>

Presence: [0..10]

Definition: Party related to the transaction.

Impacted by: [C19 OrderOriginatorEligibility1Rule](#)

RelatedPartyDetails <RltdPtyDtIs> contains the following elements (see [Intermediary40](#) on page 2626 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2626
	Account <Acct>	[0..1]			2627
	Identification <Id>	[1..1]	Text		2627
	AccountServicer <AcctSvcr>	[0..1]	±		2627
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2627
	Role <Role>	[0..1]	±		2628

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

47.4.4.9.26 Equalisation <Equlstn>

Presence: [0..1]

Definition: Part of an investor's retained subscription amount that is returned by the fund in order to reimburse preliminary incentive/performance fees.

Equalisation <Equlstn> contains the following elements (see [Equalisation1](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2319
	Rate <Rate>	[0..1]	Rate		2320

47.4.4.9.27 CustomerConductClassification <CstmrCndctClssfctn>

Presence: [0..1]

Definition: Assessment of the customer's behaviour at the time of the account opening application.

CustomerConductClassification <CstmrCndctClsfctn> contains one of the following elements (see [CustomerConductClassification1Choice on page 2145](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2145
Or}	Proprietary <Prtry>	[1..1]	±		2146

47.4.4.9.28 TransactionChannelType <TxChanlTp>

Presence: [0..1]

Definition: Means by which the investor or account owner submits the open account form.

TransactionChannelType <TxChanlTp> contains one of the following elements (see [TransactionChannelType1Choice on page 2455](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2455
Or}	Proprietary <Prtry>	[1..1]	±		2455

47.4.4.9.29 SignatureType <SgntrTp>

Presence: [0..1]

Definition: Type of signature.

SignatureType <SgntrTp> contains one of the following elements (see [SignatureType1Choice on page 2385](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2385
Or}	Proprietary <Prtry>	[1..1]	±		2385

47.4.4.9.30 OrderWaiverDetails <OrdrWvrDtls>

Presence: [0..1]

Definition: Information about a non-standard order.

Impacted by: [C33 WaiverElementRule](#)

OrderWaiverDetails <OrdrWvrDtls> contains the following elements (see [OrderWaiver1 on page 2318](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			2318
{Or	Code <Cd>	[1..1]	CodeSet		2318
Or}	Proprietary <Prtry>	[1..1]	±		2319
	InformationValue <InfVal>	[0..1]	Text		2319

Constraints

- **WaiverElementRule**

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

47.4.4.10 BulkCashSettlementDetails <BlkCshSttlmDtIs>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

BulkCashSettlementDetails <BlkCshSttlmDtls> contains the following elements (see [PaymentTransaction72 on page 2651](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2652
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2653
	Reference <Ref>	[0..1]	Text		2654
	Debtor <Dbtr>	[0..1]	±		2654
	DebtorAccount <DbtrAcct>	[0..1]	±		2654
	DebtorAgent <DbtrAgt>	[0..1]	±		2655
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2655
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2655
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2655
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2656
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2656
	CreditorAgent <CdtrAgt>	[1..1]	±		2656
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2656
	Creditor <Cdtr>	[0..1]	±		2657
	CreditorAccount <CdtrAcct>	[1..1]	±		2657
Or	ChequeDetails <ChqDtls>	[1..1]			2657
	Number <Nb>	[0..1]	Text		2658
	PayeeIdentification <Pyeeld>	[1..1]	±		2658
	DraweeIdentification <Drweeld>	[0..1]	±		2658
	DrawerIdentification <Drwrlid>	[0..1]	±		2658
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2659
	Number <Nb>	[0..1]	Text		2659
	PayeeIdentification <Pyeeld>	[1..1]	±		2659
	DraweeIdentification <Drweeld>	[0..1]	±		2659
	DrawerIdentification <Drwrlid>	[0..1]	±		2660
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2660
	AccountIdentification <AcctId>	[0..1]	Text		2660
	Type <Tp>	[0..1]	±		2661

47.4.4.11 TotalSettlementAmount <TtlSttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

Impacted by: C3 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

47.4.5 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnIRcvr>	[0..1]	IdentifierSet	C7	2395

47.4.6 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: C14 ExtensionRule

Extension <Xtnsn> contains the following elements (see Extension1 on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

48 MX setr.005.001.04 RedemptionOrderCancellationRequestV04

48.1 MessageDefinition Functionality

Scope

The RedemptionOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent RedemptionOrder.

Usage

The RedemptionOrderCancellationRequest message is used to request the cancellation of one or more individual orders.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more individual orders, the order reference of each individual order listed in the original RedemptionOrder message in the order reference element. The message identification of the RedemptionOrder message which contains the individual orders to be cancelled may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a RedemptionOrderCancellationRequest is made using an OrderCancellationStatusReport message.

Outline

The RedemptionOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. MasterReference
Reference assigned to a set of orders or trades in order to link them together.
- E. OrderReferences
Identification of the individual order to be cancelled.
- F. CopyDetails
Information provided when the message is a copy of a previous message.

48.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedOrdrCxlReq>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		1020
	PoolReference <PoolRef>	[0..1]	±		1020
	PreviousReference <PrvsRef>	[0..1]	±		1020
	MasterReference <MstrRef>	[0..1]	Text		1020
	OrderReferences <OrdrRefs>	[1..*]			1021
	OrderReference <OrdrRef>	[1..1]	Text		1021
	ClientReference <ClntRef>	[0..1]	Text		1021
	CancellationReference <CxlRef>	[0..1]	Text		1021
	CancellationReason <CxlRsn>	[0..1]	±		1021
	CopyDetails <CpyDtls>	[0..1]	±		1022

48.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

48.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

48.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

48.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

48.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

48.4.4 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text on page 3409](#)

48.4.5 OrderReferences <OrdrRefs>

Presence: [1..*]

Definition: Identification of the individual order to be cancelled.

OrderReferences <OrdrRefs> contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		1021
	ClientReference <ClntRef>	[0..1]	Text		1021
	CancellationReference <CxIRef>	[0..1]	Text		1021
	CancellationReason <CxIRsn>	[0..1]	±		1021

48.4.5.1 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

48.4.5.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

48.4.5.3 CancellationReference <CxIRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

48.4.5.4 CancellationReason <CxIRsn>

Presence: [0..1]

Definition: Reason for the cancellation.

CancellationReason <CxIRsn> contains one of the following elements (see [CancellationReason32Choice on page 2384](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		2384
Or}	Proprietary <Prtry>	[1..1]	±		2384

48.4.6 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	2395

49 MX setr.006.001.04 RedemptionOrderConfirmationV04

49.1 MessageDefinition Functionality

Scope

The RedemptionOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of execution for a previously received RedemptionOrder message.

Usage

The RedemptionOrderConfirmation message is used to confirm the execution of one or more individual orders.

A RedemptionOrder message containing more than one individual order may be responded to by more than one RedemptionOrderConfirmation message, as the valuation cycle of the financial instruments in each individual order may be different. When a RedemptionOrderConfirmation message contains fewer confirmations than originally instructed in the original RedemptionOrder message, there is no specification indication in the confirmation for this. Reconciliation must be based on the references.

Each individual order confirmation specified is identified in DealReference. The reference of the original individual order is specified in OrderReference. The message identification of the RedemptionOrder message in which the individual order was conveyed may also be quoted in RelatedReference but this is not recommended.

A RedemptionOrder must in all cases be responded to by a RedemptionOrderConfirmation message and in no circumstances by a RedemptionBulkOrderConfirmation message.

If the executing party needs to confirm one or more redemption orders for the same financial instrument then a RedemptionBulkOrderConfirmation message must be used.

When the message is used to convey a confirmation amendment/s, the AmendmentIndicator must be present with the value 'true' or '1'. When this is the case, the message must only contain a confirmation amendment/s and not contain both a confirmation amendment/s and a 'new' confirmation/s.

Outline

The RedemptionOrderConfirmationV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MultipleExecutionDetails

General information related to the execution of investment fund orders.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

49.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedOrdConf>	[1..1]		C2, C22	
	MessageIdentification <MsgId>	[1..1]	±		1035
	PoolReference <PoolRef>	[0..1]	±		1035
	PreviousReference <PrvsRef>	[0..*]	±		1035
	RelatedReference <RltdRef>	[0..1]	±		1035
	MultipleExecutionDetails <MltplExctnDtls>	[1..1]		C8, C21, C31, C33	1036
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1039
	MasterReference <MstrRef>	[0..1]	Text		1040
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		1040
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		1040
	ReceivedDateTime <RcvdDtTm>	[0..1]	DateTime		1040
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		1040
	CancellationRight <CxlRght>	[0..1]	±		1041
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	1041
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C23	1041
	IndividualExecutionDetails <IndvExctnDtls>	[1..*]		C24, C25, C26, C29	1042
	OrderReference <OrdrRef>	[1..1]	Text		1045
	ClientReference <ClntRef>	[0..1]	Text		1046
	DealReference <DealRef>	[1..1]	Text		1046
	OrderType <OrdrTp>	[0..10]	±		1046
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	1046
	SubAccountForHolding <SubAcctForHldg>	[0..1]	±		1047
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1047
	Rounding <Rndg>	[0..1]	CodeSet		1048
	NetAmount <NetAmt>	[0..1]	Amount	C3, C10	1048
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C10	1049
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		1049

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeDateTime <TradDtTm>	[1..1]	±		1049
	DealingPriceDetails <DealgPricDtls>	[1..1]	±		1050
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1050
	SettlementAmount <SttlmAmt>	[1..1]	Amount	C3, C10	1051
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1052
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1052
	PartiallyExecutedIndicator <PrtlyExctdInd>	[1..1]	Indicator		1052
	BestExecution <BestExctn>	[0..1]	CodeSet		1052
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		1052
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1053
	ForeignExchangeDetails <FXDtls>	[0..*]	±		1053
	IncomePreference <IncmPref>	[0..1]	CodeSet		1054
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1054
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C34	1054
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1055
	TotalFees <TtlFees>	[0..1]	Amount	C3, C10	1056
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C3, C10	1057
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1057
	IndividualFee <IndvFee>	[0..*]	±	C6	1058
	IndividualTax <IndvTax>	[0..*]	±		1059
	InformativeTaxDetails <InftvTaxDtls>	[0..1]	±	C32	1059
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1061
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1063
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1063
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1063
	RequestedNAVCurrency <ReqdNAVCCcy>	[0..1]	CodeSet	C4	1064
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1064
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1065
	PartialSettlementOfUnits <PrtlSttlmOfUnits>	[0..1]	Rate		1066

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	PartialSettlementOfCash <PrtlSttlmOfCsh>	[0..1]	Rate		1066
	StaffClientBreakdown <StffClntBrkdwn>	[0..4]	±		1066
	PartialRedemptionWithholdingAmount <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	1066
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1067
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1067
	LateReport <LateRpt>	[0..1]	CodeSet		1067
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1068
	Equalisation <Equlstn>	[0..1]	±		1068
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1069
	TransactionChannelType <TxChanlTp>	[0..1]	±		1069
	SignatureType <SgntrTp>	[0..1]	±		1069
	OrderWaiverDetails <OrdWrDtls>	[0..1]	±	C35	1069
	GatingOrHoldBackDetails <GtgOrHldBckDtls>	[0..1]	±		1070
	TotalSettlementAmount <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1070
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]	±		1071
	CopyDetails <CpyDtls>	[0..1]	±		1073
	Extension <Xtnsn>	[0..*]	±	C15	1073

49.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountElementRule

(Rule)

Either AccountIdentification or Type must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C2 AccountIdentificationRule

(Rule)

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in MultipleExecutionDetails/InvestmentAccountDetails must be UNKNOWN.

This constraint is defined at the MessageDefinition level.

C3 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 AppliedAmountRule

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

C7 BICFI

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C8 BulkCashSettlementDetailsRule

(Rule)

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

C9 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C10 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C12 DeliverersCustodianRule

(Rule)

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00394
- *Error Text:* DeliverersCustodianDetails must be present.

C13 DeliverersIntermediary1DetailsRule

(Rule)

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00395
- *Error Text:* DeliverersIntermediary1Details must be present.

C14 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C15 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C16 IBAN

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C17 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C18 NonStandardsSLAReferenceRule

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C19 OrderOriginatorEligibility1Rule

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C20 OrderOriginatorEligibility2Rule

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

C21 OrderOriginatorEligibility3Rule

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualExecutionDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

C22 OrderReferenceRule

(Rule)

If this message is not solicited by the receiver, then the value of the OrderReference element in every occurrence of MultipleExecutionDetails/IndividualExecutionDetails must be UNSOLICITED.

This constraint is defined at the MessageDefinition level.

C23 PersonElementRule

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C24 PhysicalDeliveryDetails1Rule

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

C25 PhysicalDeliveryDetails2Rule

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

C26 PriceDifferenceReasonRule

(Rule)

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

C27 ReceiversCustodianRule

(Rule)

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00392
- *Error Text:* ReceiversCustodianDetails must be present.

C28 ReceiversIntermediary1DetailsRule

(Rule)

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00393
- *Error Text:* ReceiversIntermediary1Details must be present.

C29 RequestedSettlementCurrencyRule

(Rule)

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00398
- *Error Text:* RequestedSettlementCurrency must be the same Currency as in SettlementAmount.

C30 SeriesElementRule

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C31 SettlementCurrencyRule

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/ SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

C32 TaxElementRule

(Rule)

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C33 TotalSettlementCurrencyRule

(Rule)

If TotalSettlementAmount is present, then Currency in IndividualExecutionDetails/SettlementAmount, must be the same in all occurrences of IndividualExecutionDetails.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C34 TransactionOverheadElementRule

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C35 WaiverElementRule

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

49.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

49.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

49.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9 on page 2005](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

49.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8 on page 2004](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

49.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

49.4.5 MultipleExecutionDetails <MltplExctnDtls>

Presence: [1..1]

Definition: General information related to the execution of investment fund orders.

Impacted by: [C8 BulkCashSettlementDetailsRule](#), [C21 OrderOriginatorEligibility3Rule](#), [C31 SettlementCurrencyRule](#), [C33 TotalSettlementCurrencyRule](#)

MultipleExecutionDetails <MltplExctnDtls> contains the following **RedemptionMultipleExecution5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1039
	MasterReference <MstrRef>	[0..1]	Text		1040
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		1040
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		1040
	ReceivedDateTime <RcvdDtTm>	[0..1]	DateTime		1040
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		1040
	CancellationRight <CxlRght>	[0..1]	±		1041
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	1041
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C23	1041
	IndividualExecutionDetails <IndvExctnDtls>	[1..*]		C24, C25, C26, C29	1042
	OrderReference <OrdrRef>	[1..1]	Text		1045
	ClientReference <ClntRef>	[0..1]	Text		1046
	DealReference <DealRef>	[1..1]	Text		1046
	OrderType <OrdrTp>	[0..10]	±		1046
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	1046
	SubAccountForHolding <SubAcctForHldg>	[0..1]	±		1047
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1047
	Rounding <Rndg>	[0..1]	CodeSet		1048
	NetAmount <NetAmt>	[0..1]	Amount	C3, C10	1048
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C10	1049
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		1049
	TradeDateTime <TradDtTm>	[1..1]	±		1049
	DealingPriceDetails <DealgPricDtls>	[1..1]	±		1050
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1050
	SettlementAmount <SttlmAmt>	[1..1]	Amount	C3, C10	1051
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1052
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1052

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartiallyExecutedIndicator <PrtlyExctdInd>	[1..1]	Indicator		1052
	BestExecution <BestExctn>	[0..1]	CodeSet		1052
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		1052
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1053
	ForeignExchangeDetails <FXDtls>	[0..*]	±		1053
	IncomePreference <IncmPref>	[0..1]	CodeSet		1054
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1054
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C34	1054
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1055
	TotalFees <TtlFees>	[0..1]	Amount	C3, C10	1056
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C3, C10	1057
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1057
	IndividualFee <IndvFee>	[0..*]	±	C6	1058
	IndividualTax <IndvTax>	[0..*]	±		1059
	InformativeTaxDetails <InftvTaxDtls>	[0..1]	±	C32	1059
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1061
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1063
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1063
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1063
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C4	1064
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1064
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1065
	PartialSettlementOfUnits <PrtlSttlmOfUnits>	[0..1]	Rate		1066
	PartialSettlementOfCash <PrtlSttlmOfCsh>	[0..1]	Rate		1066
	StaffClientBreakdown <StffClntBrkdwn>	[0..4]	±		1066
	PartialRedemptionWithholdingAmount <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	1066
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1067
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1067
	LateReport <LateRpt>	[0..1]	CodeSet		1067

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1068
	Equalisation <Equlstn>	[0..1]	±		1068
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1069
	TransactionChannelType <TxChanITp>	[0..1]	±		1069
	SignatureType <SgntrTp>	[0..1]	±		1069
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±	C35	1069
	GatingOrHoldBackDetails <GtgOrHldBckDtls>	[0..1]	±		1070
	TotalSettlementAmount <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1070
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]	±		1071

Constraints

- **BulkCashSettlementDetailsRule**

(Rule)

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **OrderOriginatorEligibility3Rule**

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualExecutionDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **SettlementCurrencyRule**

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

- **TotalSettlementCurrencyRule**

(Rule)

If TotalSettlementAmount is present, then Currency in IndividualExecutionDetails/SettlementAmount, must be the same in all occurrences of IndividualExecutionDetails.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

49.4.5.1 AmendmentIndicator <AmdmntInd>

Presence: [0..1]

Definition: Indicates whether the confirmation is an amendment of a previous confirmation.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

49.4.5.2 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text](#) on page 3409

49.4.5.3 PlaceOfTrade <PlcOfTrad>

Presence: [0..1]

Definition: Market in which the advised trade transaction was executed.

PlaceOfTrade <PlcOfTrad> contains one of the following elements (see [PlaceOfTradeIdentification1Choice](#) on page 2350 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	2350
Or	Exchange <Xchg>	[1..1]	IdentifierSet		2351
Or	Party <Pty>	[1..1]	IdentifierSet	C7	2351
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		2351

49.4.5.4 OrderDateTime <OrdrDtTm>

Presence: [0..1]

Definition: Date and time at which the order was placed by the investor or its agent.

Datatype: [ISODatetime](#) on page 3391

49.4.5.5 ReceivedDateTime <RcvdDtTm>

Presence: [0..1]

Definition: Date and time the order was received by the executing party, for example, the transfer agent.

Datatype: [ISODatetime](#) on page 3391

49.4.5.6 RequestedFutureTradeDate <ReqdFutrTradDt>

Presence: [0..1]

Definition: Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

Datatype: [ISODate](#) on page 3391

49.4.5.7 CancellationRight <CxIRght>

Presence: [0..1]

Definition: Cancellation right of the investor with respect to the investment fund order.

CancellationRight <CxIRght> contains one of the following elements (see [CancellationRight1Choice](#) on page 2386 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2386
Or}	Proprietary <Prtry>	[1..1]	±		2386

49.4.5.8 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [1..1]

Definition: Account impacted by the investment fund order execution.

Impacted by: [C20 OrderOriginatorEligibility2Rule](#)

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58](#) on page 2149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

49.4.5.9 BeneficiaryDetails <BnfcryDtls>

Presence: [0..*]

Definition: Additional information about the investor.

Impacted by: [C23 PersonElementRule](#)

BeneficiaryDetails <BnfcryDtls> contains the following elements (see [IndividualPerson32 on page 2807](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2808
	BirthDate <BirthDt>	[0..1]	Date		2808
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2808
	OtherIdentification <OthrlId>	[0..*]			2808
	Identification <Id>	[1..1]	Text		2809
	IdentificationType <IdTp>	[1..1]			2809
{Or	Code <Cd>	[1..1]	CodeSet		2809
Or}	Proprietary <Prtry>	[1..1]	±		2810
	Issuer </ssr>	[0..1]	Text		2810

Constraints

- **PersonElementRule**

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

49.4.5.10 IndividualExecutionDetails <IndvExctnDtls>

Presence: [1..*]

Definition: Execution of a redemption order.

Impacted by: [C24 PhysicalDeliveryDetails1Rule](#)__, [C25 PhysicalDeliveryDetails2Rule](#)__, [C26 PriceDifferenceReasonRule](#), [C29 RequestedSettlementCurrencyRule](#)__

IndividualExecutionDetails <IndvExctnDtls> contains the following **RedemptionExecution15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		1045
	ClientReference <ClntRef>	[0..1]	Text		1046
	DealReference <DealRef>	[1..1]	Text		1046
	OrderType <OrdrTp>	[0..10]	±		1046
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	1046
	SubAccountForHolding <SubAcctForHldg>	[0..1]	±		1047
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1047
	Rounding <Rndg>	[0..1]	CodeSet		1048
	NetAmount <NetAmt>	[0..1]	Amount	C3, C10	1048
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C10	1049
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		1049
	TradeDateTime <TradDtTm>	[1..1]	±		1049
	DealingPriceDetails <DealgPricDtls>	[1..1]	±		1050
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1050
	SettlementAmount <SttlmAmt>	[1..1]	Amount	C3, C10	1051
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1052
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1052
	PartiallyExecutedIndicator <PrtlyExctdInd>	[1..1]	Indicator		1052
	BestExecution <BestExctn>	[0..1]	CodeSet		1052
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		1052
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1053
	ForeignExchangeDetails <FXDtls>	[0..*]	±		1053
	IncomePreference <IncmPref>	[0..1]	CodeSet		1054
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1054
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C34	1054
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1055
	TotalFees <TtlFees>	[0..1]	Amount	C3, C10	1056

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalTaxes <TtlTxs>	[0..1]	Amount	C3, C10	1057
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1057
	IndividualFee <IndvFee>	[0..*]	±	C6	1058
	IndividualTax <IndvTax>	[0..*]	±		1059
	InformativeTaxDetails <InftvTaxDtls>	[0..1]	±	C32	1059
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1061
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1063
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1063
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1063
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C4	1064
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1064
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1065
	PartialSettlementOfUnits <PrtlSttlmOfUnits>	[0..1]	Rate		1066
	PartialSettlementOfCash <PrtlSttlmOfCsh>	[0..1]	Rate		1066
	StaffClientBreakdown <StffCintBrkdw>	[0..4]	±		1066
	PartialRedemptionWithholdingAmount <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	1066
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1067
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1067
	LateReport <LateRpt>	[0..1]	CodeSet		1067
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1068
	Equalisation <Equlstn>	[0..1]	±		1068
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1069
	TransactionChannelType <TxChanlTp>	[0..1]	±		1069
	SignatureType <SgntrTp>	[0..1]	±		1069
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±	C35	1069
	GatingOrHoldBackDetails <GtgOrHldBckDtls>	[0..1]	±		1070

Constraints

- **PhysicalDeliveryDetails1Rule**

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition
 /PhysicalDeliveryIndicator is equal to value 'false'
Or
 /PhysicalDeliveryIndicator is equal to value '0'
Following Must be True
 /PhysicalDeliveryDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

• **PhysicalDeliveryDetails2Rule**

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition
 /PhysicalDeliveryIndicator is equal to value 'true'
Or
 /PhysicalDeliveryIndicator is equal to value '1'
Following Must be True
 /PhysicalDeliveryDetails Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

• **PriceDifferenceReasonRule**

(Rule)

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

• **RequestedSettlementCurrencyRule**

(Rule)

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

On Condition
 /RequestedSettlementCurrency is present
And
 /SettlementAmount is present
Following Must be True
 /RequestedSettlementCurrency Must be equal to /SettlementAmount/
attribute::Currency

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00398
- *Error Text:* RequestedSettlementCurrency must be the same Currency as in SettlementAmount.

49.4.5.10.1 OrderReference <OrdRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

49.4.5.10.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

49.4.5.10.3 DealReference <DealRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

Datatype: [Max35Text on page 3409](#)

49.4.5.10.4 OrderType <OrdTp>

Presence: [0..10]

Definition: Category of the investment fund order.

OrderType <OrdTp> contains one of the following elements (see [FundOrderType4Choice on page 2335](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2336
Or}	Proprietary <Prtry>	[1..1]	±		2336

49.4.5.10.5 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class to which the investment fund order execution is related.

Impacted by: [C17 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57 on page 1894](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsstP>	[0..1]	Text		1896
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

49.4.5.10.6 SubAccountForHolding <SubAcctForHldg>

Presence: [0..1]

Definition: Subdivision of the account used to segregate specific holdings.

SubAccountForHolding <SubAcctForHldg> contains the following elements (see [SubAccount6 on page 2144](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2145
	Name <Nm>	[0..1]	Text		2145
	Characteristic <Chrtc>	[0..1]	Text		2145
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2145

49.4.5.10.7 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Number of investment funds units redeemed.

Datatype: [DecimalNumber on page 3405](#)

49.4.5.10.8 Rounding <Rndg>

Presence: [0..1]

Definition: Indicates the rounding direction applied to nearest unit.

Datatype: [RoundingDirection2Code on page 3347](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

49.4.5.10.9 NetAmount <NetAmt>

Presence: [0..1]

Definition: Amount of money paid to the investor when redeeming fund units.

Net amount = (Quantity * Price) - (Fees + Taxes).

Impacted by: [C3 ActiveCurrency](#), [C10 CurrencyAmount](#)

Datatype: [ActiveCurrencyAndAmount on page 3238](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

49.4.5.10.10 GrossAmount <GrssAmt>

Presence: [0..1]

Definition: Amount of money redeemed from the fund.

Gross Amount = Quantity * Price.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

49.4.5.10.11 HoldingsRedemptionRate <HldgsRedRate>

Presence: [0..1]

Definition: Portion of the investor's holdings redeemed.

Datatype: PercentageRate on page 3406

49.4.5.10.12 TradeDateTime <TradDtTm>

Presence: [1..1]

Definition: Date and time at which a price is applied, according to the terms stated in the prospectus.

TradeDateTime <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

49.4.5.10.13 DealingPriceDetails <DealgPricDtIs>

Presence: [1..1]

Definition: Price at which the order was executed.

DealingPriceDetails <DealgPricDtIs> contains the following elements (see [UnitPrice22](#) on page 2858 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2858
	Value <Val>	[1..1]	±		2858
	PriceMethod <PricMtd>	[0..1]	CodeSet		2859
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2859
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2859
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2860
{Or	Code <Cd>	[1..1]	CodeSet		2860
Or}	Proprietary <Prtry>	[1..1]	±		2860
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2860

49.4.5.10.14 InformativePriceDetails <InftvPricDtIs>

Presence: [0..2]

Definition: Other quoted price than the one at which the order was executed.

InformativePriceDetails <InftvPricDtls> contains the following elements (see [UnitPrice22](#) on page 2858 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2858
	Value <Val>	[1..1]	±		2858
	PriceMethod <PricMtd>	[0..1]	CodeSet		2859
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2859
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2859
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2860
{Or	Code <Cd>	[1..1]	CodeSet		2860
Or}	Proprietary <Prtry>	[1..1]	±		2860
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2860

49.4.5.10.15 SettlementAmount <SttlmAmt>

Presence: [1..1]

Definition: Total amount of money paid/to be paid or received in exchange for the financial instrument in the individual order.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

49.4.5.10.16 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: [ISODate on page 3391](#)

49.4.5.10.17 SettlementMethod <SttlmMtd>

Presence: [0..1]

Definition: Method by which the transaction is settled.

Datatype: [DeliveryReceiptType2Code on page 3270](#)

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

49.4.5.10.18 PartiallyExecutedIndicator <PrtlyExctdInd>

Presence: [1..1]

Definition: Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

49.4.5.10.19 BestExecution <BestExctn>

Presence: [0..1]

Definition: Specifies that the execution was subject to best execution rules as defined by MiFID.

Datatype: [BestExecution1Code on page 3249](#)

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

49.4.5.10.20 CumDividendIndicator <CumDvddInd>

Presence: [1..1]

Definition: Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

49.4.5.10.21 InterimProfitAmount <IntrmPrftAmt>

Presence: [0..1]

Definition: Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

InterimProfitAmount <IntrmPrftAmt> contains one of the following elements (see [ProfitAndLoss2Choice](#) on page 2856 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2, C10	2856
Or}	Loss <Loss>	[1..1]	Amount	C2, C10	2857

49.4.5.10.22 ForeignExchangeDetails <FXDtIs>

Presence: [0..*]

Definition: Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms33](#) on page 1983 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1983
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1984
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1985
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1985
	ExchangeRate <XchgRate>	[1..1]	Rate		1986
	QuotationDate <QtnDt>	[0..1]	DateTime		1986
	QuotingInstitution <QtgInstn>	[0..1]	±		1986

49.4.5.10.23 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference1Code](#) on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

49.4.5.10.24 Group1Or2Units <Grp1Or2Units>

Presence: [0..1]

Definition: Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

Datatype: [UKTaxGroupUnit1Code](#) on page 3390

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

49.4.5.10.25 TransactionOverhead <TxOvrhd>

Presence: [0..1]

Definition: Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

Impacted by: [C18 NonStandardsSLAReferenceRule](#), [C34 TransactionOverheadElementRule](#)

TransactionOverhead <TxOvrhd> contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1055
	TotalFees <TtlFees>	[0..1]	Amount	C3, C10	1056
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C3, C10	1057
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1057
	IndividualFee <IndvFee>	[0..*]	±	C6	1058
	IndividualTax <IndvTax>	[0..*]	±		1059

Constraints

- **NonStandardsSLAReferenceRule**

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **TransactionOverheadElementRule**

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

49.4.5.10.25.1 TotalOverheadApplied <TtlOvrhdApld>

Presence: [0..1]

Definition: Total amount of overhead applied to the transaction that impacts the settlement amount.

Impacted by: C3 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

49.4.5.10.25.2 TotalFees <TtlFees>

Presence: [0..1]

Definition: Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

49.4.5.10.25.3 TotalTaxes <TtITaxs>

Presence: [0..1]

Definition: Total amount of taxes applied to the transaction that impacts the settlement amount.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

49.4.5.10.25.4 CommercialAgreementReference <ComrclAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

49.4.5.10.25.5 IndividualFee <IndvFee>

Presence: [0..*]

Definition: Individual fee (charge/commission).

Impacted by: C6 AppliedAmountRule

IndividualFee <IndvFee> contains the following elements (see [Fee2](#) on page 1775 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1776
{Or	Code <Cd>	[1..1]	CodeSet		1776
Or}	Proprietary <Prtry>	[1..1]	±		1777
	Basis <Bsis>	[0..1]			1777
{Or	Code <Cd>	[1..1]	CodeSet		1778
Or}	Proprietary <Prtry>	[1..1]	±		1778
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1778
	StandardRate <StdRate>	[0..1]	Rate		1779
	DiscountDetails <DscntDtls>	[0..1]		C14	1779
	Amount <Amt>	[0..1]	Amount	C2, C10	1780
	Rate <Rate>	[0..1]	Rate		1781
	Basis <Bsis>	[0..1]			1781
{Or	Code <Cd>	[1..1]	CodeSet		1781
Or}	Proprietary <Prtry>	[1..1]	±		1781
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1782
	AppliedRate <ApldRate>	[0..1]	Rate		1782
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1783
	RecipientIdentification <RcptId>	[0..1]	±		1783
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1783

Constraints

- **AppliedAmountRule**

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

 /InformativeIndicator is equal to value 'false'

 Or /InformativeIndicator is equal to value '0'

Following Must be True

 /AppliedAmount Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

49.4.5.10.25.6 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Individual tax.

IndividualTax <IndvTax> contains the following elements (see [Tax31](#) on page 3111 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3111
{Or	Code <Cd>	[1..1]	CodeSet		3111
Or}	Proprietary <Prtry>	[1..1]	±		3113
	AppliedAmount <ApldAmt>	[1..1]	Amount	C2, C10	3113
	AppliedRate <ApldRate>	[0..1]	Rate		3114
	Country <Ctry>	[0..1]	CodeSet	C11	3114
	RecipientIdentification <RcptId>	[0..1]	±		3114
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3115
	Basis <Bsis>	[0..1]			3115
{Or	Code <Cd>	[1..1]	CodeSet		3115
Or}	Proprietary <Prtry>	[1..1]	±		3115
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3116

49.4.5.10.26 InformativeTaxDetails <InftvTaxDtls>

Presence: [0..1]

Definition: Additional information about tax that does not have an impact on the transaction overhead.

Impacted by: [C32 TaxElementRule](#)

InformativeTaxDetails <InftvTaxDtIs> contains the following elements (see [InformativeTax1 on page 3097](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	3099
	EUCapitalGain <EUCptlGn>	[0..1]			3099
{Or	Code <Cd>	[1..1]	CodeSet		3100
Or}	Proprietary <Prtry>	[1..1]	±		3100
	EUDividendStatus <EUDvddSts>	[0..1]			3100
{Or	Code <Cd>	[1..1]	CodeSet		3101
Or}	Proprietary <Prtry>	[1..1]	±		3101
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		3101
	IndividualTax <IndvTax>	[0..*]			3101
	Type <Tp>	[1..1]			3102
{Or	Code <Cd>	[1..1]	CodeSet		3102
Or}	Proprietary <Prtry>	[1..1]	±		3104
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	3104
	InformativeRate <InftvRate>	[0..1]	Rate		3105
	Country <Ctry>	[0..1]	CodeSet	C11	3105
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3105
	ExemptionReason <XmptnRsn>	[0..1]			3105
{Or	Code <Cd>	[1..1]	CodeSet		3106
Or}	Proprietary <Prtry>	[1..1]	±		3108
	RecipientIdentification <Rcptld>	[0..1]	±		3109
	TaxCalculationDetails <TaxClctnDtIs>	[0..1]			3109
	Basis <Bsis>	[0..1]			3109
{Or	Code <Cd>	[1..1]	CodeSet		3110
Or}	Proprietary <Prtry>	[1..1]	±		3110
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3110

Constraints

- **TaxElementRule**
 (Rule)

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

49.4.5.10.27 SettlementAndCustodyDetails <SttlmAndCtdyDtIs>

Presence: [0..1]

Definition: Parameters used to execute the settlement of an investment fund order.

SettlementAndCustodyDetails <SttlmAndCtdyDtls> contains the following elements (see [FundSettlementParameters11](#) on page 2930 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2932
	SettlementPlace <SttlmPlc>	[1..1]	±		2932
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2932
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2933
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2933
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2933
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2933
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2935
	PartyIdentification <PtyId>	[1..1]	±		2935
	AccountIdentification <AcctId>	[0..1]	Text		2935
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2935
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2936
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2937
	PartyIdentification <PtyId>	[1..1]	±		2937
	AccountIdentification <AcctId>	[0..1]	Text		2937
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2937
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2939
	PartyIdentification <PtyId>	[1..1]	±		2939
	AccountIdentification <AcctId>	[0..1]	Text		2939
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2939
	PartyIdentification <PtyId>	[1..1]	±		2940
	AccountIdentification <AcctId>	[0..1]	Text		2940
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2940
	PartyIdentification <PtyId>	[1..1]	±		2940
	AccountIdentification <AcctId>	[0..1]	Text		2940

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrAgDtls>	[1..1]			2941
	PartyIdentification <PtyId>	[1..1]	±		2941
	AccountIdentification <AcctId>	[0..1]	Text		2941

49.4.5.10.28 PhysicalDeliveryIndicator <PhysDlvryInd>

Presence: [1..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

49.4.5.10.29 PhysicalDeliveryDetails <PhysDlvryDtls>

Presence: [0..1]

Definition: Information related to the physical delivery of the securities.

PhysicalDeliveryDetails <PhysDlvryDtls> contains the following elements (see [DeliveryParameters3](#) on page 2826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2826
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2826

49.4.5.10.30 RequestedSettlementCurrency <ReqdSttlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: [C3 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode](#) on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

49.4.5.10.31 RequestedNAVCurrency <ReqdNAVCcy>

Presence: [0..1]

Definition: Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

Impacted by: C4 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

49.4.5.10.32 CashSettlementDetails <CshSttlmDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

CashSettlementDetails <CshSttlmDtls> contains the following elements (see [PaymentTransaction72](#) on page 2651 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2652
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2653
	Reference <Ref>	[0..1]	Text		2654
	Debtor <Dbtr>	[0..1]	±		2654
	DebtorAccount <DbtrAcct>	[0..1]	±		2654
	DebtorAgent <DbtrAgt>	[0..1]	±		2655
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2655
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2655
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2655
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2656
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2656
	CreditorAgent <CdtrAgt>	[1..1]	±		2656
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2656
	Creditor <Cdtr>	[0..1]	±		2657
	CreditorAccount <CdtrAcct>	[1..1]	±		2657
Or	ChequeDetails <ChqDtls>	[1..1]			2657
	Number <Nb>	[0..1]	Text		2658
	PayeeIdentification <Pyeeld>	[1..1]	±		2658
	DraweeIdentification <Drweeld>	[0..1]	±		2658
	DrawerIdentification <Drwrlid>	[0..1]	±		2658
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2659
	Number <Nb>	[0..1]	Text		2659
	PayeeIdentification <Pyeeld>	[1..1]	±		2659
	DraweeIdentification <Drweeld>	[0..1]	±		2659
	DrawerIdentification <Drwrlid>	[0..1]	±		2660
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2660
	AccountIdentification <AcctId>	[0..1]	Text		2660
	Type <Tp>	[0..1]	±		2661

49.4.5.10.33 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

Definition: Additional specific settlement information for non-regulated traded funds.

Datatype: Max350Text on page 3409

49.4.5.10.34 PartialSettlementOfUnits <PrtlSttlmOfUnits>

Presence: [0..1]

Definition: Percentage of units partially settled.

Datatype: PercentageRate on page 3406

49.4.5.10.35 PartialSettlementOfCash <PrtlSttlmOfCsh>

Presence: [0..1]

Definition: Percentage of cash partially settled.

Datatype: PercentageRate on page 3406

49.4.5.10.36 StaffClientBreakdown <StffCIntBrkdwn>

Presence: [0..4]

Definition: Breakdown of the net amount per type of order.

StaffClientBreakdown <StffCIntBrkdwn> contains the following elements (see InvestmentFundsOrderBreakdown2 on page 2333 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	Amount <Amt>	[1..1]	Amount	C2, C10	2335

49.4.5.10.37 PartialRedemptionWithholdingAmount <PrtlRedWhldgAmt>

Presence: [0..1]

Definition: Amount retained by the fund and paid out later at a time decided by the fund.

Impacted by: C3 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

49.4.5.10.38 FinancialAdvice <FinAdvc>

Presence: [0..1]

Definition: Specifies if advice has been received from an independent financial advisor.

Datatype: [FinancialAdvice1Code on page 3281](#)

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

49.4.5.10.39 NegotiatedTrade <NgtdTrad>

Presence: [0..1]

Definition: Specifies whether the trade is negotiated.

Datatype: [NegotiatedTrade1Code on page 3316](#)

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

49.4.5.10.40 LateReport <LateRpt>

Presence: [0..1]

Definition: Specifies whether the order execution confirmation is late.

Datatype: [LateReport1Code](#) on page 3313

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

49.4.5.10.41 RelatedPartyDetails <RltdPtyDtIs>

Presence: [0..10]

Definition: Party related to the transaction.

Impacted by: [C19 OrderOriginatorEligibility1Rule](#)

RelatedPartyDetails <RltdPtyDtIs> contains the following elements (see [Intermediary39](#) on page 2623 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2623
	Account <Acct>	[0..1]			2624
	Identification <Id>	[1..1]	Text		2624
	AccountServicer <AcctSvcr>	[0..1]	±		2624
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2624
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		2625
	Role <Role>	[0..1]	±		2625

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

49.4.5.10.42 Equalisation <Equalstn>

Presence: [0..1]

Definition: Part of an investor's subscription amount that was held by the fund in order to pay incentive/performance fees at the end of the fiscal year, and is returned due to the redemption.

Equalisation <Equlstn> contains the following elements (see [Equalisation1](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2319
	Rate <Rate>	[0..1]	Rate		2320

49.4.5.10.43 CustomerConductClassification <CstmrCndctClsfctn>

Presence: [0..1]

Definition: Assessment of the customer's behaviour at the time of the account opening application.

CustomerConductClassification <CstmrCndctClsfctn> contains one of the following elements (see [CustomerConductClassification1Choice](#) on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2145
Or}	Proprietary <Prtry>	[1..1]	±		2146

49.4.5.10.44 TransactionChannelType <TxChanITp>

Presence: [0..1]

Definition: Means by which the investor or account owner submits the open account form.

TransactionChannelType <TxChanITp> contains one of the following elements (see [TransactionChannelType1Choice](#) on page 2455 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2455
Or}	Proprietary <Prtry>	[1..1]	±		2455

49.4.5.10.45 SignatureType <SgntrTp>

Presence: [0..1]

Definition: Type of signature.

SignatureType <SgntrTp> contains one of the following elements (see [SignatureType1Choice](#) on page 2385 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2385
Or}	Proprietary <Prtry>	[1..1]	±		2385

49.4.5.10.46 OrderWaiverDetails <OrdWvrDtls>

Presence: [0..1]

Definition: Information about a non-standard order.

Impacted by: [C35 WaiverElementRule](#)

OrderWaiverDetails <OrdrWvrDtls> contains the following elements (see [OrderWaiver1](#) on page 2318 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			2318
{Or	Code <Cd>	[1..1]	CodeSet		2318
Or}	Proprietary <Prtry>	[1..1]	±		2319
	InformationValue <InfVal>	[0..1]	Text		2319

Constraints

- **WaiverElementRule**

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

49.4.5.10.47 GatingOrHoldBackDetails <GtgOrHldBckDtls>

Presence: [0..1]

Definition: Information about gating and hold back of redemption proceeds.

GatingOrHoldBackDetails <GtgOrHldBckDtls> contains the following elements (see [HoldBackInformation2](#) on page 2329 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2329
	Amount <Amt>	[0..1]	Amount	C2, C10	2329
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		2330
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		2330
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		2331
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		2331
	FinalConfirmation <FnlConf>	[0..1]	Indicator		2332

49.4.5.11 TotalSettlementAmount <TtlSttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

Impacted by: C3 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

49.4.5.12 BulkCashSettlementDetails <BlkCshSttlmDtIs>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

BulkCashSettlementDetails <BlkCshSttlmDtls> contains the following elements (see [PaymentTransaction72 on page 2651](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2652
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2653
	Reference <Ref>	[0..1]	Text		2654
	Debtor <Dbtr>	[0..1]	±		2654
	DebtorAccount <DbtrAcct>	[0..1]	±		2654
	DebtorAgent <DbtrAgt>	[0..1]	±		2655
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2655
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2655
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2655
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2656
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2656
	CreditorAgent <CdtrAgt>	[1..1]	±		2656
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2656
	Creditor <Cdtr>	[0..1]	±		2657
	CreditorAccount <CdtrAcct>	[1..1]	±		2657
Or	ChequeDetails <ChqDtls>	[1..1]			2657
	Number <Nb>	[0..1]	Text		2658
	PayeeIdentification <Pyeeld>	[1..1]	±		2658
	DraweeIdentification <Drweeld>	[0..1]	±		2658
	DrawerIdentification <Drwrlid>	[0..1]	±		2658
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2659
	Number <Nb>	[0..1]	Text		2659
	PayeeIdentification <Pyeeld>	[1..1]	±		2659
	DraweeIdentification <Drweeld>	[0..1]	±		2659
	DrawerIdentification <Drwrlid>	[0..1]	±		2660
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2660
	AccountIdentification <Acctid>	[0..1]	Text		2660
	Type <Tp>	[0..1]	±		2661

49.4.6 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	2395

49.4.7 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C15 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

50 MX setr.007.001.04 SubscriptionBulkOrderV04

50.1 MessageDefinition Functionality

Scope

The SubscriptionBulkOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a subscription to a financial instrument for two or more accounts.

Usage

The SubscriptionBulkOrder message is used to bulk several individual orders into one bulk order. The individual orders come from different instructing parties, that is, account owners, but are for the same financial instrument. This message will typically be used by a party collecting orders and bulking these individual orders into one bulk order before sending it to another party.

For a single subscription order, the SubscriptionOrder message, not the SubscriptionBulkOrder message, must be used.

Outline

The SubscriptionBulkOrderV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. BulkOrderDetails

General information related to the orders.

E. CopyDetails

Information provided when the message is a copy of a previous message.

F. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

50.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptBlkOrd>	[1..1]		C2	
	MessageIdentification <Msgld>	[1..1]	±		1083
	PoolReference <PoolRef>	[0..1]	±		1083
	PreviousReference <PrvsRef>	[0..*]	±		1084
	BulkOrderDetails <BlkOrdDtls>	[1..1]		C7, C27, C29	1084
	MasterReference <MstrRef>	[0..1]	Text		1087
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		1087
	OrderDateTime <OrdDtTm>	[0..1]	DateTime		1087
	ExpiryDateTime <XpryDtTm>	[0..1]	±		1087
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		1087
	CancellationRight <CxlRght>	[0..1]	±		1088
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C18	1088
	IndividualOrderDetails <IndvOrdDtls>	[1..*]		C21, C23, C24	1089
	OrderReference <OrdRef>	[1..1]	Text		1092
	ClientReference <ClntRef>	[0..1]	Text		1092
	OrderType <OrdTp>	[0..10]	±		1092
	AmountOrUnits <AmtOrUnits>	[1..1]			1092
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1092
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	1092
Or}	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	1093
	Rounding <Rndg>	[0..1]	CodeSet		1094
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C3, C10	1094
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1095
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1095
	IncomePreference <IncmPref>	[0..1]	CodeSet		1095
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	1096
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C22	1096

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1097
	LetterIntentReference <LtrInttRef>	[0..1]	Text		1098
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1098
	TransactionOverhead <TxOvrhd>	[0..1]		C16	1098
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1099
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	1099
	IndividualTax <IndvTax>	[0..*]	±		1101
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1102
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1104
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1104
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1104
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1106
	StaffClientBreakdown <StffCIntBrkdwn>	[0..4]	±		1106
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1106
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1107
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1107
	Equalisation <Equlstr>	[0..1]	±		1108
	SourceOfCash <SrcOfCsh>	[0..*]	±		1108
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1108
	TransactionChannelType <TxChanlTp>	[0..1]	±		1108
	SignatureType <SgntrTp>	[0..1]	±		1109
	OrderWaiverDetails <OrdWrDtls>	[0..1]	±	C32	1109
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1110
	RequestedNAVCurrency <ReqdNAVCCcy>	[0..1]	CodeSet	C4	1110
	TotalSettlementAmount <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1110
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]	±		1111
	CopyDetails <CpyDtls>	[0..1]	±		1113
	Extension <Xtnsn>	[0..*]	±	C14	1113

50.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountElementRule

(Rule)

Either AccountIdentification or Type must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C2 AccountIdentificationRule

(Rule)

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in BulkOrderDetails/IndividualOrderDetails/InvestmentAccountDetails must be UNKNOWN.

This constraint is defined at the MessageDefinition level.

C3 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 BICFI

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C7 BulkCashSettlementDetails3Rule

(Rule)

Either IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

C8 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007

- *Error Text:* Invalid currency code or too many decimal digits.

C10 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 DeliverersCustodianRule

(Rule)

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00394
- *Error Text:* DeliverersCustodianDetails must be present.

C12 DeliverersIntermediary1DetailsRule

(Rule)

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00395
- *Error Text:* DeliverersIntermediary1Details must be present.

C13 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C14 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C15 FeeElementRule

(Rule)

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C16 FeeTaxElementRule

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C17 IBAN

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C18 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C19 OrderOriginatorEligibility1Rule

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C20 OrderOriginatorEligibility2Rule

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

C21 OrderOriginatorEligibility3Rule

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

C22 PersonElementRule

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C23 PhysicalDeliveryDetails1Rule

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

C24 PhysicalDeliveryDetails2Rule

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

C25 ReceiversCustodianRule

(Rule)

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00392
- *Error Text:* ReceiversCustodianDetails must be present.

C26 ReceiversIntermediary1DetailsRule

(Rule)

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00393
- *Error Text:* ReceiversIntermediary1Details must be present.

C27 RequestedSettlementCurrencyRule

(Rule)

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualOrderDetails/SettlementAmount, if present.

C28 SeriesElementRule

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C29 SettlementCurrency2Rule

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

C30 StandardFeeAmountCalculation

(Rule)

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C31 StandardFeeRateCalculation

(Rule)

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C32 WaiverElementRule

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

50.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

50.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

50.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

50.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

50.4.4 BulkOrderDetails <BlkOrdrDtls>

Presence: [1..1]

Definition: General information related to the orders.

Impacted by: [C7 BulkCashSettlementDetails3Rule](#), [C27 RequestedSettlementCurrencyRule](#), [C29 SettlementCurrency2Rule](#)

BulkOrderDetails <BlkOrdrDtls> contains the following **SubscriptionBulkOrder5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		1087
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		1087
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		1087
	ExpiryDateTime <XpryDtTm>	[0..1]	±		1087
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		1087
	CancellationRight <CxlRght>	[0..1]	±		1088
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C18	1088
	IndividualOrderDetails <IndvOrdrDtls>	[1..*]		C21, C23, C24	1089
	OrderReference <OrdrRef>	[1..1]	Text		1092
	ClientReference <ClntRef>	[0..1]	Text		1092
	OrderType <OrdrTp>	[0..10]	±		1092
	AmountOrUnits <AmtOrUnits>	[1..1]			1092
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1092
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	1092
Or}	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	1093
	Rounding <Rndg>	[0..1]	CodeSet		1094
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C3, C10	1094
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1095
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1095
	IncomePreference <IncmPref>	[0..1]	CodeSet		1095
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	1096
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C22	1096
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1097
	LetterIntentReference <LtrInttRef>	[0..1]	Text		1098
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1098
	TransactionOverhead <TxOvrhd>	[0..1]		C16	1098
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1099

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	1099
	IndividualTax <IndvTax>	[0..*]	±		1101
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1102
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1104
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1104
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1104
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1106
	StaffClientBreakdown <StffCintBrkdown>	[0..4]	±		1106
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1106
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1107
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1107
	Equalisation <Equlstn>	[0..1]	±		1108
	SourceOfCash <SrcOfCsh>	[0..*]	±		1108
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1108
	TransactionChannelType <TxChanITp>	[0..1]	±		1108
	SignatureType <SgntrTp>	[0..1]	±		1109
	OrderWaiverDetails <OrdWrDtls>	[0..1]	±	C32	1109
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1110
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C4	1110
	TotalSettlementAmount <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1110
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]	±		1111

Constraints

- **BulkCashSettlementDetails3Rule**

(Rule)

Either IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **RequestedSettlementCurrencyRule**

(Rule)

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualOrderDetails/SettlementAmount, if present.

- **SettlementCurrency2Rule**

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

50.4.4.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text on page 3409](#)

50.4.4.2 PlaceOfTrade <PlcOfTrad>

Presence: [0..1]

Definition: Market in which the advised trade transaction was executed.

PlaceOfTrade <PlcOfTrad> contains one of the following elements (see [PlaceOfTradeIdentification1Choice on page 2350](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	2350
Or	Exchange <Xchg>	[1..1]	IdentifierSet		2351
Or	Party <Pty>	[1..1]	IdentifierSet	C7	2351
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		2351

50.4.4.3 OrderDateTime <OrdrDtTm>

Presence: [0..1]

Definition: Date and time the order is placed by the investor or its agent.

Datatype: [ISODateTime on page 3391](#)

50.4.4.4 ExpiryDateTime <XpryDtTm>

Presence: [0..1]

Definition: Date on which the order expires.

ExpiryDateTime <XpryDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

50.4.4.5 RequestedFutureTradeDate <ReqdFutrTradDt>

Presence: [0..1]

Definition: Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

Datatype: [ISODate](#) on page 3391

50.4.4.6 CancellationRight <CxIRght>

Presence: [0..1]

Definition: Cancellation right of the investor with respect to the investment fund order.

CancellationRight <CxIRght> contains one of the following elements (see [CancellationRight1Choice](#) on page 2386 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2386
Or}	Proprietary <Prtry>	[1..1]	±		2386

50.4.4.7 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class related to the order.

Impacted by: [C18 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57](#) on page 1894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**
(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

50.4.4.8 IndividualOrderDetails <IndvOrdrDtIs>

Presence: [1..*]

Definition: Order to invest the investor's principal in an investment fund.

Impacted by: C21 OrderOriginatorEligibility3Rule, C23 PhysicalDeliveryDetails1Rule, C24 PhysicalDeliveryDetails2Rule

IndividualOrderDetails <IndvOrdrDtls> contains the following **SubscriptionOrder15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		1092
	ClientReference <ClntRef>	[0..1]	Text		1092
	OrderType <OrdrTp>	[0..10]	±		1092
	AmountOrUnits <AmtOrUnits>	[1..1]			1092
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1092
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	1092
Or}	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	1093
	Rounding <Rndg>	[0..1]	CodeSet		1094
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C3, C10	1094
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1095
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1095
	IncomePreference <IncmPref>	[0..1]	CodeSet		1095
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	1096
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C22	1096
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1097
	LetterIntentReference <LtrInttRef>	[0..1]	Text		1098
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1098
	TransactionOverhead <TxOvrhd>	[0..1]		C16	1098
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1099
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	1099
	IndividualTax <IndvTax>	[0..*]	±		1101
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1102
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1104
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1104
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1104
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1106
	StaffClientBreakdown <StffClntBrkdwn>	[0..4]	±		1106
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1106

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1107
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1107
	Equalisation <Equlstr>	[0..1]	±		1108
	SourceOfCash <SrcOfCsh>	[0..*]	±		1108
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1108
	TransactionChannelType <TxChanlTp>	[0..1]	±		1108
	SignatureType <SgntrTp>	[0..1]	±		1109
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±	C32	1109

Constraints

- **OrderOriginatorEligibility3Rule**

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **PhysicalDeliveryDetails1Rule**

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

 /PhysicalDeliveryDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

- **PhysicalDeliveryDetails2Rule**

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

 /PhysicalDeliveryDetails Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

50.4.4.8.1 OrderReference <OrdRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

50.4.4.8.2 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

50.4.4.8.3 OrderType <OrdTp>

Presence: [0..10]

Definition: Category of the investment fund order.

OrderType <OrdTp> contains one of the following elements (see [FundOrderType4Choice on page 2335](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2336
Or}	Proprietary <Prtry>	[1..1]	±		2336

50.4.4.8.4 AmountOrUnits <AmtOrUnits>

Presence: [1..1]

Definition: Amount of money or the number of units for the subscription order.

AmountOrUnits <AmtOrUnits> contains one of the following **FinancialInstrumentQuantity27Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1092
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	1092
Or}	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	1093

50.4.4.8.4.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Number of investment fund units to be subscribed.

Datatype: [DecimalNumber on page 3405](#)

50.4.4.8.4.2 GrossAmount <GrssAmt>

Presence: [1..1]

Definition: Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity * Price) + (Fees + Taxes).

Impacted by: C4 ActiveOrHistoricCurrency , C9 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

50.4.4.8.4.3 NetAmount <NetAmt>

Presence: [1..1]

Definition: Amount of money to be invested in the fund.

Net Amount = Quantity * Price.

Impacted by: C4 ActiveOrHistoricCurrency , C9 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

50.4.4.8.5 Rounding <Rndg>

Presence: [0..1]

Definition: Indicates the rounding direction applied to nearest unit.

Datatype: [RoundingDirection2Code on page 3347](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

50.4.4.8.6 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

Impacted by: [C3 ActiveCurrency](#) __, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount on page 3238](#)

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

50.4.4.8.7 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

50.4.4.8.8 SettlementMethod <SttlmMtd>

Presence: [0..1]

Definition: Method by which the transaction is settled.

Datatype: DeliveryReceiptType2Code on page 3270

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

50.4.4.8.9 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: IncomePreference1Code on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.

CodeName	Name	Definition
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

50.4.4.8.10 InvestmentAccountDetails <InvstmtAcctDtIs>

Presence: [1..1]

Definition: Account impacted by the investment fund order.

Impacted by: C20 OrderOriginatorEligibility2Rule

InvestmentAccountDetails <InvstmtAcctDtIs> contains the following elements (see InvestmentAccount58 on page 2149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtIs>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

50.4.4.8.11 BeneficiaryDetails <BnfcryDtIs>

Presence: [0..*]

Definition: Additional information about the investor.

Impacted by: C22 PersonElementRule

BeneficiaryDetails <BnfcryDtls> contains the following elements (see [IndividualPerson31 on page 2804](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2804
	BirthDate <BirthDt>	[0..1]	Date		2804
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2804
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2805
	OtherIdentification <OthrlId>	[0..*]			2805
	Identification <Id>	[1..1]	Text		2805
	IdentificationType <IdTp>	[1..1]			2805
{Or	Code <Cd>	[1..1]	CodeSet		2806
Or}	Proprietary <Prtry>	[1..1]	±		2807
	Issuer <Issr>	[0..1]	Text		2807

Constraints

- **PersonElementRule**

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

50.4.4.8.12 ForeignExchangeDetails <FXDtls>

Presence: [0..1]

Definition: Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms32](#) on page 1986 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1987
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1987
	ExchangeRate <XchgRate>	[1..1]	Rate		1988
	QuotationDate <QtnDt>	[0..1]	DateTime		1988
	QuotingInstitution <QtgInstn>	[0..1]	±		1988

50.4.4.8.13 LetterIntentReference <LtrInttRef>

Presence: [0..1]

Definition: Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer. A letter of intent program is mainly used in the US market.

Datatype: [Max35Text](#) on page 3409

50.4.4.8.14 AccumulationRightReference <AcmltnRghtRef>

Presence: [0..1]

Definition: Reference of an accumulation right program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

Datatype: [Max35Text](#) on page 3409

50.4.4.8.15 TransactionOverhead <TxOvrhd>

Presence: [0..1]

Definition: Fees (charges/commission) and tax to be applied to the net amount.

Impacted by: [C16 FeeTaxElementRule](#)

TransactionOverhead <TxOvrhd> contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1099
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	1099
	IndividualTax <IndvTax>	[0..*]	±		1101

Constraints

- **FeeTaxElementRule**

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

50.4.4.8.15.1 CommercialAgreementReference <ComrcIAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

50.4.4.8.15.2 IndividualFee <IndvFee>

Presence: [0..*]

Definition: Individual fee (charge/commission).

Impacted by: C15 FeeElementRule, C30 StandardFeeAmountCalculation, C31 StandardFeeRateCalculation

IndividualFee <IndvFee> contains the following elements (see [Fee1](#) on page 1783 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1785
{Or	Code <Cd>	[1..1]	CodeSet		1785
Or}	Proprietary <Prtry>	[1..1]	±		1786
	Basis <Bsis>	[0..1]			1786
{Or	Code <Cd>	[1..1]	CodeSet		1787
Or}	Proprietary <Prtry>	[1..1]	±		1787
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1787
	StandardRate <StdRate>	[0..1]	Rate		1788
	DiscountDetails <DscntDtls>	[0..1]		C14	1788
	Amount <Amt>	[0..1]	Amount	C2, C10	1789
	Rate <Rate>	[0..1]	Rate		1790
	Basis <Bsis>	[0..1]			1790
{Or	Code <Cd>	[1..1]	CodeSet		1790
Or}	Proprietary <Prtry>	[1..1]	±		1791
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C2, C10	1791
	RequestedRate <ReqdRate>	[0..1]	Rate		1792
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1792
	RecipientIdentification <RcptId>	[0..1]	±		1792

Constraints

- **FeeElementRule**

(Rule)

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

- **StandardFeeAmountCalculation**

(Rule)

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **StandardFeeRateCalculation**

(Rule)

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

50.4.4.8.15.3 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Individual tax amount.

IndividualTax <IndvTax> contains the following elements (see [Tax30](#) on page 3116 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3117
{Or	Code <Cd>	[1..1]	CodeSet		3117
Or}	Proprietary <Prtry>	[1..1]	±		3119
	Tax <Tax>	[0..1]			3119
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	3119
Or}	Rate <Rate>	[1..1]	Rate		3120
	Country <Ctry>	[0..1]	CodeSet	C11	3120
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3120
	ExemptionReason <XmptnRsn>	[0..1]			3121
{Or	Code <Cd>	[1..1]	CodeSet		3121
Or}	Proprietary <Prtry>	[1..1]	±		3124
	RecipientIdentification <Rcptld>	[0..1]	±		3124
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3124
	Basis <Bsis>	[1..1]			3125
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3125

50.4.4.8.16 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

Presence: [0..1]

Definition: Parameters used to execute the settlement of an investment fund order.

SettlementAndCustodyDetails <SttlmAndCtdyDtls> contains the following elements (see FundSettlementParameters11 on page 2930 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2932
	SettlementPlace <SttlmPlc>	[1..1]	±		2932
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2932
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2933
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2933
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2933
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2933
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2935
	PartyIdentification <PtyId>	[1..1]	±		2935
	AccountIdentification <AcctId>	[0..1]	Text		2935
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2935
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2936
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2937
	PartyIdentification <PtyId>	[1..1]	±		2937
	AccountIdentification <AcctId>	[0..1]	Text		2937
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2937
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2939
	PartyIdentification <PtyId>	[1..1]	±		2939
	AccountIdentification <AcctId>	[0..1]	Text		2939
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2939
	PartyIdentification <PtyId>	[1..1]	±		2940
	AccountIdentification <AcctId>	[0..1]	Text		2940
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2940
	PartyIdentification <PtyId>	[1..1]	±		2940
	AccountIdentification <AcctId>	[0..1]	Text		2940

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrAgDtls>	[1..1]			2941
	PartyIdentification <PtyId>	[1..1]	±		2941
	AccountIdentification <AcctId>	[0..1]	Text		2941

50.4.4.8.17 PhysicalDeliveryIndicator <PhysDlvryInd>

Presence: [1..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

50.4.4.8.18 PhysicalDeliveryDetails <PhysDlvryDtls>

Presence: [0..1]

Definition: Information related to the physical delivery of the securities.

PhysicalDeliveryDetails <PhysDlvryDtls> contains the following elements (see [NameAndAddress4](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2832
	Address <Adr>	[1..1]	±		2833

50.4.4.8.19 CashSettlementDetails <CshSttlmDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

CashSettlementDetails <CshSttlmDtls> contains the following elements (see [PaymentTransaction70](#) on page 2759 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2761
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2763
	Type <Tp>	[1..1]	CodeSet		2763
	Number <Nb>	[1..1]	Text		2764
	HolderName <HldrNm>	[1..1]	Text		2764
	StartDate <StartDt>	[0..1]	YearMonth		2764
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2764
	CardIssuerName <CardIssrNm>	[0..1]	Text		2764
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2764
	SecurityCode <SctyCd>	[0..1]	Text		2765
	SequenceNumber <SeqNb>	[0..1]	Text		2765
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2765
	Reference <Ref>	[0..1]	Text		2765
	Debtor <Dbtr>	[0..1]	±		2765
	DebtorAccount <DbtrAcct>	[0..1]	±		2766
	DebtorAgent <DbtrAgt>	[0..1]	±		2766
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2766
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2766
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2767
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2767
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2767
	CreditorAgent <CdtrAgt>	[1..1]	±		2768
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2768
	Creditor <Cdtr>	[0..1]	±		2768
	CreditorAccount <CdtrAcct>	[1..1]	±		2768
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2769
Or	ChequeDetails <ChqDtls>	[1..1]			2769
	Number <Nb>	[0..1]	Text		2769
	PayeeIdentification <Pyeeld>	[1..1]	±		2770
	DraweeIdentification <Drweeld>	[0..1]	±		2770

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlD>	[0..1]	±		2770
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2770
	Number <Nb>	[0..1]	Text		2771
	PayeeIdentification <Pyeeld>	[1..1]	±		2771
	DraweeIdentification <Drweeld>	[0..1]	±		2771
	DrawerIdentification <DrwrlD>	[0..1]	±		2771
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2772
	AccountIdentification <AcctId>	[0..1]	Text		2772
	Type <Tp>	[0..1]	±		2772

50.4.4.8.20 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

Definition: Additional specific settlement information for non-regulated traded funds.

Datatype: Max350Text on page 3409

50.4.4.8.21 StaffClientBreakdown <StffClntBrkdwn>

Presence: [0..4]

Definition: Breakdown of the net amount per type of order.

StaffClientBreakdown <StffClntBrkdwn> contains the following elements (see [InvestmentFundsOrderBreakdown2](#) on page 2333 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	Amount <Amt>	[1..1]	Amount	C2, C10	2335

50.4.4.8.22 FinancialAdvice <FinAdvc>

Presence: [0..1]

Definition: Specifies if advice has been received from an independent financial advisor.

Datatype: FinancialAdvice1Code on page 3281

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.

CodeName	Name	Definition
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

50.4.4.8.23 NegotiatedTrade <NgtdTrad>

Presence: [0..1]

Definition: Specifies whether the trade is negotiated.

Datatype: [NegotiatedTrade1Code](#) on page 3316

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

50.4.4.8.24 RelatedPartyDetails <RltdPtyDtls>

Presence: [0..10]

Definition: Party related to the transaction.

Impacted by: [C19 OrderOriginatorEligibility1Rule](#)

RelatedPartyDetails <RltdPtyDtls> contains the following elements (see [Intermediary40](#) on page 2626 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2626
	Account <Acct>	[0..1]			2627
	Identification <Id>	[1..1]	Text		2627
	AccountServicer <AcctSvcr>	[0..1]	±		2627
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2627
	Role <Role>	[0..1]	±		2628

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

50.4.4.8.25 Equalisation <Equlstn>

Presence: [0..1]

Definition: Part of an investor's subscription amount that is held by the fund in order to pay incentive/ performance fees at the end of the fiscal year.

Equalisation <Equlstn> contains the following elements (see [Equalisation1](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2319
	Rate <Rate>	[0..1]	Rate		2320

50.4.4.8.26 SourceOfCash <SrcOfCsh>

Presence: [0..*]

Definition: Source of cash used for the settlement of the subscription.

SourceOfCash <SrcOfCsh> contains one of the following elements (see [SourceOfCash1Choice](#) on page 2731 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2731
Or}	Proprietary <Prtry>	[1..1]	±		2731

50.4.4.8.27 CustomerConductClassification <CstmrCndctClssfctn>

Presence: [0..1]

Definition: Assessment of the customer's behaviour at the time of the account opening application.

CustomerConductClassification <CstmrCndctClssfctn> contains one of the following elements (see [CustomerConductClassification1Choice](#) on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2145
Or}	Proprietary <Prtry>	[1..1]	±		2146

50.4.4.8.28 TransactionChannelType <TxChanlTp>

Presence: [0..1]

Definition: Means by which the investor or account owner submits the open account form.

TransactionChannelType <TxChanITp> contains one of the following elements (see [TransactionChannelType1Choice](#) on page 2455 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2455
Or}	Proprietary <Prtry>	[1..1]	±		2455

50.4.4.8.29 SignatureType <SgntrTp>

Presence: [0..1]

Definition: Type of signature.

SignatureType <SgntrTp> contains one of the following elements (see [SignatureType1Choice](#) on page 2385 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2385
Or}	Proprietary <Prtry>	[1..1]	±		2385

50.4.4.8.30 OrderWaiverDetails <OrdrWvrDtIs>

Presence: [0..1]

Definition: Information about a non-standard order.

Impacted by: [C32 WaiverElementRule](#)

OrderWaiverDetails <OrdrWvrDtIs> contains the following elements (see [OrderWaiver1](#) on page 2318 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			2318
{Or	Code <Cd>	[1..1]	CodeSet		2318
Or}	Proprietary <Prtry>	[1..1]	±		2319
	InformationValue <InfVal>	[0..1]	Text		2319

Constraints

- **WaiverElementRule**

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- *Error severity:* Fatal

- *Error Code:*

– *Error Text:*

50.4.4.9 RequestedSettlementCurrency <ReqdSttlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: C3 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

50.4.4.10 RequestedNAVCurrency <ReqdNAVCcy>

Presence: [0..1]

Definition: Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

Impacted by: C4 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

50.4.4.11 TotalSettlementAmount <TtlSttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

Impacted by: C3 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

50.4.4.12 BulkCashSettlementDetails <BlkCshSttlmDtIs>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

BulkCashSettlementDetails <BlkCshSttlmDtls> contains the following elements (see [PaymentTransaction70 on page 2759](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2761
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2763
	Type <Tp>	[1..1]	CodeSet		2763
	Number <Nb>	[1..1]	Text		2764
	HolderName <HldrNm>	[1..1]	Text		2764
	StartDate <StartDt>	[0..1]	YearMonth		2764
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2764
	CardIssuerName <CardIssrNm>	[0..1]	Text		2764
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2764
	SecurityCode <SctyCd>	[0..1]	Text		2765
	SequenceNumber <SeqNb>	[0..1]	Text		2765
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2765
	Reference <Ref>	[0..1]	Text		2765
	Debtor <Dbtr>	[0..1]	±		2765
	DebtorAccount <DbtrAcct>	[0..1]	±		2766
	DebtorAgent <DbtrAgt>	[0..1]	±		2766
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2766
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2766
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2767
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2767
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2767
	CreditorAgent <CdtrAgt>	[1..1]	±		2768
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2768
	Creditor <Cdtr>	[0..1]	±		2768
	CreditorAccount <CdtrAcct>	[1..1]	±		2768
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2769
Or	ChequeDetails <ChqDtls>	[1..1]			2769
	Number <Nb>	[0..1]	Text		2769
	PayeeIdentification <Pyeeld>	[1..1]	±		2770
	DraweeIdentification <Drweeld>	[0..1]	±		2770

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <Drwrlid>	[0..1]	±		2770
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2770
	Number <Nb>	[0..1]	Text		2771
	PayeeIdentification <Pyeeld>	[1..1]	±		2771
	DraweeIdentification <Drweeld>	[0..1]	±		2771
	DrawerIdentification <Drwrlid>	[0..1]	±		2771
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2772
	AccountIdentification <AcctId>	[0..1]	Text		2772
	Type <Tp>	[0..1]	±		2772

50.4.5 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	2395

50.4.6 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C14 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

51 MX setr.008.001.04 SubscriptionBulkOrderCancellationRequestV 04

51.1 MessageDefinition Functionality

Scope

The SubscriptionBulkOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SubscriptionBulkOrder.

Usage

The SubscriptionBulkOrderCancellationRequest message is used to request the cancellation of one or more individual orders.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more individual orders, the order reference of each individual order listed in the original SubscriptionBulkOrder message is specified in the order reference element. The message identification of the SubscriptionBulkOrder message which contains the individual orders to be cancelled may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a SubscriptionBulkOrderCancellationRequest is made using an OrderCancellationStatusReport message.

Outline

The SubscriptionBulkOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. MasterReference
Reference assigned to a set of orders or trades in order to link them together.
- E. OrderReferences
Identification of the individual order to be cancelled.
- F. CopyDetails

Information provided when the message is a copy of a previous message.

51.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptBlkOrdxCxlReq>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		1116
	PoolReference <PoolRef>	[0..1]	±		1116
	PreviousReference <PrvsRef>	[0..1]	±		1116
	MasterReference <MstrRef>	[0..1]	Text		1117
	OrderReferences <OrdRefs>	[1..*]			1117
	OrderReference <OrdRef>	[1..1]	Text		1117
	ClientReference <ClntRef>	[0..1]	Text		1117
	CancellationReference <CxlRef>	[0..1]	Text		1117
	CancellationReason <CxlRsn>	[0..1]	±		1118
	CopyDetails <CpyDtls>	[0..1]	±		1118

51.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

51.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

51.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

51.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9 on page 2005](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

51.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

51.4.4 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text](#) on page 3409

51.4.5 OrderReferences <OrdrRefs>

Presence: [1..*]

Definition: Identification of the individual order to be cancelled.

OrderReferences <OrdrRefs> contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		1117
	ClientReference <ClntRef>	[0..1]	Text		1117
	CancellationReference <CxIRef>	[0..1]	Text		1117
	CancellationReason <CxIRsn>	[0..1]	±		1118

51.4.5.1 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text](#) on page 3409

51.4.5.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text](#) on page 3409

51.4.5.3 CancellationReference <CxIRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

51.4.5.4 CancellationReason <CxIRsn>

Presence: [0..1]

Definition: Reason for the cancellation.

CancellationReason <CxIRsn> contains one of the following elements (see [CancellationReason32Choice on page 2384](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		2384
Or}	Proprietary <Prtry>	[1..1]	±		2384

51.4.6 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4 on page 2395](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	2395

52 MX setr.009.001.04 SubscriptionBulkOrderConfirmationV04

52.1 MessageDefinition Functionality

Scope

The SubscriptionBulkOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a SubscriptionBulkOrder instruction.

Usage

The SubscriptionBulkOrderConfirmation message is used to confirm the execution of all individual orders.

There is usually one bulk confirmation message for one bulk order message.

Each individual order confirmation specified is identified in DealReference. The reference of the original individual order is specified in OrderReference. The message identification of the SubscriptionBulkOrder message in which the individual order was conveyed may also be quoted in RelatedReference.

A SubscriptionBulkOrder must in all cases be responded to by a SubscriptionBulkOrderConfirmation and in no circumstances by a SubscriptionOrderConfirmation.

If the executing party needs to confirm a SubscriptionOrder instruction, then the SubscriptionOrderConfirmation must be used.

When the message is used to convey a confirmation amendment/s, the AmendmentIndicator must be present with the value 'true' or '1'. When this is the case, the message must only contain a confirmation amendment/s and not contain both a confirmation amendment/s and a 'new' confirmation/s.

Outline

The SubscriptionBulkOrderConfirmationV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. RelatedReference
Reference to a linked message that was previously received.
- E. BulkExecutionDetails
General information related to the execution of the orders.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

52.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptBlkOrdrConf>	[1..1]		C2, C22	
	MessageIdentification <MsgId>	[1..1]	±		1130
	PoolReference <PoolRef>	[0..1]	±		1130
	PreviousReference <PrvsRef>	[0..*]	±		1130
	RelatedReference <RltdRef>	[0..1]	±		1131
	BulkExecutionDetails <BlkExctnDtls>	[1..1]		C8, C29, C31	1131
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1134
	MasterReference <MstrRef>	[0..1]	Text		1134
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		1135
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		1135
	ReceivedDateTime <RcvdDtTm>	[0..1]	DateTime		1135
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		1135
	CancellationRight <CxlRght>	[0..1]	±		1135
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	1136
	IndividualExecutionDetails <IndvExctnDtls>	[1..*]		C21, C24, C25, C26	1136
	OrderReference <OrdrRef>	[1..1]	Text		1139
	ClientReference <ClntRef>	[0..1]	Text		1139
	DealReference <DealRef>	[1..1]	Text		1139
	OrderType <OrdrTp>	[0..10]	±		1140
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	1140
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C23	1140
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1141
	Rounding <Rndg>	[0..1]	CodeSet		1141
	NetAmount <NetAmt>	[0..1]	Amount	C3, C10	1142
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C10	1142
	TradeDateTime <TradDtTm>	[1..1]	±		1143
	DealingPriceDetails <DealgPricDtls>	[1..1]	±		1143

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1144
	SettlementAmount <SttlmAmt>	[1..1]	Amount	C3, C10	1144
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1145
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1145
	PartiallyExecutedIndicator <PrtylExctdInd>	[1..1]	Indicator		1146
	BestExecution <BestExctn>	[0..1]	CodeSet		1146
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		1146
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1146
	ForeignExchangeDetails <FXDtls>	[0..*]	±		1146
	IncomePreference <IncmPref>	[0..1]	CodeSet		1147
	LetterIntentReference <LtrlInttRef>	[0..1]	Text		1147
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1148
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C33	1148
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1149
	TotalFees <TtlFees>	[0..1]	Amount	C3, C10	1149
	TotalTaxes <TtlTxs>	[0..1]	Amount	C3, C10	1150
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1151
	IndividualFee <IndvFee>	[0..*]	±	C6	1151
	IndividualTax <IndvTax>	[0..*]	±		1153
	InformativeTaxDetails <InftvTaxDtls>	[0..1]	±	C32	1153
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1155
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1157
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1157
	StaffClientBreakdown <StffClntBrkdown>	[0..4]	±		1157
	Refund <Rfnd>	[0..1]	Amount	C3, C10	1157
	SubscriptionInterest <SbcptIntrst>	[0..1]	Amount	C3, C10	1158
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1159
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1161
	PartialSettlementOfUnits <PrtlSttlmOfUnits>	[0..1]	Rate		1161

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialAdvice <FinAdv<	[0..1]	CodeSet		1161
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1161
	LateReport <LateRpt>	[0..1]	CodeSet		1162
	PartialSettlementOfCash <PrtlSttlmOfCsh>	[0..1]	Rate		1162
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1162
	Equalisation <Equlstn>	[0..1]	±		1163
	SourceOfCash <SrcOfCsh>	[0..*]	±		1163
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1163
	TransactionChannelType <TxChanTp>	[0..1]	±		1164
	SignatureType <SgntrTp>	[0..1]	±		1164
	OrderWaiverDetails <OrdWrDtls>	[0..1]	±	C34	1164
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1165
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C4	1165
	TotalSettlementAmount <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1166
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]	±		1166
	CopyDetails <CpyDtls>	[0..1]	±		1168
	Extension <Xtnsn>	[0..*]	±	C15	1168

52.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountElementRule

(Rule)

Either AccountIdentification or Type must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C2 AccountIdentificationRule

(Rule)

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in BulkExecutionDetails/ IndividualExecutionDetails/InvestmentAccountDetails must be UNKNOWN.

This constraint is defined at the MessageDefinition level.

C3 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 AppliedAmountRule

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

C7 BICFI

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C8 BulkCashSettlementDetailsRule

(Rule)

Either IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

C9 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C10 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007

- *Error Text:* Invalid currency code or too many decimal digits.

C12 DeliverersCustodianRule

(Rule)

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00394
- *Error Text:* DeliverersCustodianDetails must be present.

C13 DeliverersIntermediary1DetailsRule

(Rule)

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00395
- *Error Text:* DeliverersIntermediary1Details must be present.

C14 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C15 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C16 IBAN

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003

- *Error Text:* Invalid IBAN format or invalid check digits.

C17 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C18 NonStandardsSLAReferenceRule

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

C19 OrderOriginatorEligibility1Rule

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

C20 OrderOriginatorEligibility2Rule

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

C21 OrderOriginatorEligibility3Rule

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

C22 OrderReferenceRule

(Rule)

If this message is not solicited by the receiver, then the value of the OrderReference element in every occurrence of BulkExecutionDetails/IndividualExecutionDetails must be UNSOLICITED.

This constraint is defined at the MessageDefinition level.

C23 PersonElementRule

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C24 PhysicalDeliveryDetails1Rule

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

C25 PhysicalDeliveryDetails2Rule

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

C26 PriceDifferenceReasonRule

(Rule)

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

C27 ReceiversCustodianRule

(Rule)

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00392
- *Error Text:* ReceiversCustodianDetails must be present.

C28 ReceiversIntermediary1DetailsRule

(Rule)

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00393
- *Error Text:* ReceiversIntermediary1Details must be present.

C29 RequestedSettlementCurrencyRule

(Rule)

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualExecutionDetails/SettlementAmount.

C30 SeriesElementRule

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C31 SettlementCurrencyRule

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

C32 TaxElementRule

(Rule)

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C33 TransactionOverheadElementRule

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*

– *Error Text:*

C34 WaiverElementRule

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

52.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

52.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

52.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

52.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

52.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

52.4.5 BulkExecutionDetails <BlkExctnDtls>

Presence: [1..1]

Definition: General information related to the execution of the orders.

Impacted by: [C8 BulkCashSettlementDetailsRule](#), [C29 RequestedSettlementCurrencyRule](#), [C31 SettlementCurrencyRule](#)

BulkExecutionDetails <BkExctnDtls> contains the following **SubscriptionBulkExecution4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1134
	MasterReference <MstrRef>	[0..1]	Text		1134
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		1135
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		1135
	ReceivedDateTime <RcvdDtTm>	[0..1]	DateTime		1135
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		1135
	CancellationRight <CxlRght>	[0..1]	±		1135
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	1136
	IndividualExecutionDetails <IndvExctnDtls>	[1..*]		C21, C24, C25, C26	1136
	OrderReference <OrdrRef>	[1..1]	Text		1139
	ClientReference <ClntRef>	[0..1]	Text		1139
	DealReference <DealRef>	[1..1]	Text		1139
	OrderType <OrdrTp>	[0..10]	±		1140
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	1140
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C23	1140
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1141
	Rounding <Rndg>	[0..1]	CodeSet		1141
	NetAmount <NetAmt>	[0..1]	Amount	C3, C10	1142
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C10	1142
	TradeDateTime <TradDtTm>	[1..1]	±		1143
	DealingPriceDetails <DealgPricDtls>	[1..1]	±		1143
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1144
	SettlementAmount <SttlmAmt>	[1..1]	Amount	C3, C10	1144
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1145
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1145
	PartiallyExecutedIndicator <PrtyExctdInd>	[1..1]	Indicator		1146
	BestExecution <BestExctn>	[0..1]	CodeSet		1146
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		1146

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1146
	ForeignExchangeDetails <FXDtls>	[0..*]	±		1146
	IncomePreference <IncmPref>	[0..1]	CodeSet		1147
	LetterIntentReference <LtrlInttRef>	[0..1]	Text		1147
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1148
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C33	1148
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1149
	TotalFees <TtlFees>	[0..1]	Amount	C3, C10	1149
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C3, C10	1150
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1151
	IndividualFee <IndvFee>	[0..*]	±	C6	1151
	IndividualTax <IndvTax>	[0..*]	±		1153
	InformativeTaxDetails <InftvTaxDtls>	[0..1]	±	C32	1153
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1155
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1157
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1157
	StaffClientBreakdown <StffClntBrkdwn>	[0..4]	±		1157
	Refund <Rfnd>	[0..1]	Amount	C3, C10	1157
	SubscriptionInterest <SbcptIntrst>	[0..1]	Amount	C3, C10	1158
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1159
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1161
	PartialSettlementOfUnits <PrtlSttlmOfUnits>	[0..1]	Rate		1161
	FinancialAdvice <FinAdv<	[0..1]	CodeSet		1161
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1161
	LateReport <LateRpt>	[0..1]	CodeSet		1162
	PartialSettlementOfCash <PrtlSttlmOfCsh>	[0..1]	Rate		1162
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1162
	Equalisation <Equlstn>	[0..1]	±		1163

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SourceOfCash <SrcOfCsh>	[0..*]	±		1163
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1163
	TransactionChannelType <TxChanITp>	[0..1]	±		1164
	SignatureType <SgntrTp>	[0..1]	±		1164
	OrderWaiverDetails <OrdWrDtls>	[0..1]	±	C34	1164
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1165
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C4	1165
	TotalSettlementAmount <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1166
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]	±		1166

Constraints

- **BulkCashSettlementDetailsRule**

(Rule)

Either IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **RequestedSettlementCurrencyRule**

(Rule)

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualExecutionDetails/SettlementAmount.

- **SettlementCurrencyRule**

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

52.4.5.1 AmendmentIndicator <AmdmntInd>

Presence: [0..1]

Definition: Indicates whether the confirmation is an amendment of a previous confirmation.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

52.4.5.2 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text on page 3409](#)

52.4.5.3 PlaceOfTrade <PlcOfTrad>

Presence: [0..1]

Definition: Market in which the advised trade transaction was executed.

PlaceOfTrade <PlcOfTrad> contains one of the following elements (see [PlaceOfTradeIdentification1Choice on page 2350](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	2350
Or	Exchange <Xchg>	[1..1]	IdentifierSet		2351
Or	Party <Pty>	[1..1]	IdentifierSet	C7	2351
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		2351

52.4.5.4 OrderDateTime <OrdrDtTm>

Presence: [0..1]

Definition: Date and time at which the order was placed by the investor or its agent.

Datatype: [ISODateTime on page 3391](#)

52.4.5.5 ReceivedDateTime <RcvdDtTm>

Presence: [0..1]

Definition: Date and time the order was received by the executing party, for example, the transfer agent.

Datatype: [ISODateTime on page 3391](#)

52.4.5.6 RequestedFutureTradeDate <ReqdFutrTradDt>

Presence: [0..1]

Definition: Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

Datatype: [ISODate on page 3391](#)

52.4.5.7 CancellationRight <CxIRght>

Presence: [0..1]

Definition: Cancellation right of the investor with respect to the investment fund order.

CancellationRight <CxlRght> contains one of the following elements (see [CancellationRight1Choice](#) on page 2386 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2386
Or}	Proprietary <Prtry>	[1..1]	±		2386

52.4.5.8 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class to which the investment fund order execution is related.

Impacted by: [C17 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57](#) on page 1894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

52.4.5.9 IndividualExecutionDetails <IndvExctnDtls>

Presence: [1..*]

Definition: Execution of a subscription order.

Impacted by: [C21 OrderOriginatorEligibility3Rule](#), [C24 PhysicalDeliveryDetails1Rule](#), [C25 PhysicalDeliveryDetails2Rule](#), [C26 PriceDifferenceReasonRule](#)

IndividualExecutionDetails <IndvExctnDtls> contains the following **SubscriptionExecution12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		1139
	ClientReference <ClntRef>	[0..1]	Text		1139
	DealReference <DealRef>	[1..1]	Text		1139
	OrderType <OrdrTp>	[0..10]	±		1140
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	1140
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C23	1140
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1141
	Rounding <Rndg>	[0..1]	CodeSet		1141
	NetAmount <NetAmt>	[0..1]	Amount	C3, C10	1142
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C10	1142
	TradeDateTime <TradDtTm>	[1..1]	±		1143
	DealingPriceDetails <DealgPricDtls>	[1..1]	±		1143
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1144
	SettlementAmount <SttlmAmt>	[1..1]	Amount	C3, C10	1144
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1145
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1145
	PartiallyExecutedIndicator <PrtyExctdInd>	[1..1]	Indicator		1146
	BestExecution <BestExctn>	[0..1]	CodeSet		1146
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		1146
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1146
	ForeignExchangeDetails <FXDtls>	[0..*]	±		1146
	IncomePreference <IncmPref>	[0..1]	CodeSet		1147
	LetterIntentReference <LtrlInttRef>	[0..1]	Text		1147
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1148
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C33	1148
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1149
	TotalFees <TtlFees>	[0..1]	Amount	C3, C10	1149

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalTaxes <TtlTxs>	[0..1]	Amount	C3, C10	1150
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1151
	IndividualFee <IndvFee>	[0..*]	±	C6	1151
	IndividualTax <IndvTax>	[0..*]	±		1153
	InformativeTaxDetails <InftvTaxDtls>	[0..1]	±	C32	1153
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1155
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1157
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1157
	StaffClientBreakdown <StffCIntBrkdw>	[0..4]	±		1157
	Refund <Rfnd>	[0..1]	Amount	C3, C10	1157
	SubscriptionInterest <SbcptIntrst>	[0..1]	Amount	C3, C10	1158
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1159
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1161
	PartialSettlementOfUnits <PrtlSttlmOfUnits>	[0..1]	Rate		1161
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1161
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1161
	LateReport <LateRpt>	[0..1]	CodeSet		1162
	PartialSettlementOfCash <PrtlSttlmOfCsh>	[0..1]	Rate		1162
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1162
	Equalisation <Equlstr>	[0..1]	±		1163
	SourceOfCash <SrcOfCsh>	[0..*]	±		1163
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1163
	TransactionChannelType <TxChanlTp>	[0..1]	±		1164
	SignatureType <SgntrTp>	[0..1]	±		1164
	OrderWaiverDetails <OrdvWvrDtls>	[0..1]	±	C34	1164

Constraints

- **OrderOriginatorEligibility3Rule**

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **PhysicalDeliveryDetails1Rule**

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

 /PhysicalDeliveryDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

- **PhysicalDeliveryDetails2Rule**

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

 /PhysicalDeliveryDetails Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

- **PriceDifferenceReasonRule**

(Rule)

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

52.4.5.9.1 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: Max35Text on page 3409

52.4.5.9.2 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: Max35Text on page 3409

52.4.5.9.3 DealReference <DealRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

Datatype: [Max35Text](#) on page 3409

52.4.5.9.4 OrderType <OrdrTp>

Presence: [0..10]

Definition: Category of the investment fund order.

OrderType <OrdrTp> contains one of the following elements (see [FundOrderType4Choice](#) on page 2335 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2336
Or}	Proprietary <Prtry>	[1..1]	±		2336

52.4.5.9.5 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [1..1]

Definition: Account impacted by the investment fund order execution.

Impacted by: [C20 OrderOriginatorEligibility2Rule](#)

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58](#) on page 2149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

52.4.5.9.6 BeneficiaryDetails <BnfcryDtls>

Presence: [0..*]

Definition: Additional information about the investor.

Impacted by: [C23 PersonElementRule](#)

BeneficiaryDetails <BnfcryDtls> contains the following elements (see [IndividualPerson31 on page 2804](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2804
	BirthDate <BirthDt>	[0..1]	Date		2804
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2804
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2805
	OtherIdentification <OthrlId>	[0..*]			2805
	Identification <Id>	[1..1]	Text		2805
	IdentificationType <IdTp>	[1..1]			2805
{Or	Code <Cd>	[1..1]	CodeSet		2806
Or}	Proprietary <Prtry>	[1..1]	±		2807
	Issuer <Issr>	[0..1]	Text		2807

Constraints

- **PersonElementRule**

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

52.4.5.9.7 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Number of investment fund units subscribed.

Datatype: [DecimalNumber on page 3405](#)

52.4.5.9.8 Rounding <Rndg>

Presence: [0..1]

Definition: Indicates the rounding direction applied to nearest unit.

Datatype: [RoundingDirection2Code on page 3347](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.

CodeName	Name	Definition
RDWN	RoundDown	Round down to the nearest whole number.

52.4.5.9.9 NetAmount <NetAmt>

Presence: [0..1]

Definition: Amount of money invested in the fund.

Net Amount = Quantity * Price.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

52.4.5.9.10 GrossAmount <GrssAmt>

Presence: [0..1]

Definition: Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity * Price) + (Fees + Taxes).

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

52.4.5.9.11 TradeDateTime <TradDtTm>

Presence: [1..1]

Definition: Date and time at which a price is applied, according to the terms stated in the prospectus.

TradeDateTime <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

52.4.5.9.12 DealingPriceDetails <DealgPricDtls>

Presence: [1..1]

Definition: Price at which the order was executed.

DealingPriceDetails <DealgPricDtIs> contains the following elements (see [UnitPrice22](#) on page 2858 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2858
	Value <Val>	[1..1]	±		2858
	PriceMethod <PricMtd>	[0..1]	CodeSet		2859
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2859
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2859
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2860
{Or	Code <Cd>	[1..1]	CodeSet		2860
Or}	Proprietary <Prtry>	[1..1]	±		2860
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2860

52.4.5.9.13 InformativePriceDetails <InftvPricDtIs>

Presence: [0..2]

Definition: Other quoted price than the one at which the order was executed.

InformativePriceDetails <InftvPricDtIs> contains the following elements (see [UnitPrice22](#) on page 2858 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2858
	Value <Val>	[1..1]	±		2858
	PriceMethod <PricMtd>	[0..1]	CodeSet		2859
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2859
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2859
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2860
{Or	Code <Cd>	[1..1]	CodeSet		2860
Or}	Proprietary <Prtry>	[1..1]	±		2860
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2860

52.4.5.9.14 SettlementAmount <SttlmAmt>

Presence: [1..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

52.4.5.9.15 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: [ISODate](#) on page 3391

52.4.5.9.16 SettlementMethod <SttlmMtd>

Presence: [0..1]

Definition: Method by which the transaction is settled.

Datatype: [DeliveryReceiptType2Code](#) on page 3270

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

52.4.5.9.17 PartiallyExecutedIndicator <PrtlyExctdInd>

Presence: [1..1]

Definition: Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

52.4.5.9.18 BestExecution <BestExctn>

Presence: [0..1]

Definition: Specifies that the execution was subject to best execution rules as defined by MiFID.

Datatype: [BestExecution1Code](#) on page 3249

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

52.4.5.9.19 CumDividendIndicator <CumDvddInd>

Presence: [1..1]

Definition: Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

52.4.5.9.20 InterimProfitAmount <IntrmPrftAmt>

Presence: [0..1]

Definition: Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

InterimProfitAmount <IntrmPrftAmt> contains one of the following elements (see [ProfitAndLoss2Choice](#) on page 2856 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2, C10	2856
Or}	Loss <Loss>	[1..1]	Amount	C2, C10	2857

52.4.5.9.21 ForeignExchangeDetails <FXDtIs>

Presence: [0..*]

Definition: Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms33](#) on page 1983 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1983
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1984
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1985
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1985
	ExchangeRate <XchgRate>	[1..1]	Rate		1986
	QuotationDate <QtnDt>	[0..1]	DateTime		1986
	QuotingInstitution <QtgInstn>	[0..1]	±		1986

52.4.5.9.22 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference1Code](#) on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

52.4.5.9.23 LetterIntentReference <LtrInttRef>

Presence: [0..1]

Definition: Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer. A letter of intent program is mainly used in the US market.

Datatype: [Max35Text on page 3409](#)

52.4.5.9.24 AccumulationRightReference <AcmltnRghtRef>

Presence: [0..1]

Definition: Reference of an accumulation right program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

Datatype: [Max35Text on page 3409](#)

52.4.5.9.25 TransactionOverhead <TxOvrhd>

Presence: [0..1]

Definition: Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

Impacted by: [C18 NonStandardsSLAReferenceRule](#), [C33 TransactionOverheadElementRule](#)

TransactionOverhead <TxOvrhd> contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1149
	TotalFees <TtlFees>	[0..1]	Amount	C3, C10	1149
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C3, C10	1150
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1151
	IndividualFee <IndvFee>	[0..*]	±	C6	1151
	IndividualTax <IndvTax>	[0..*]	±		1153

Constraints

- **NonStandardsSLAReferenceRule**

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

- **TransactionOverheadElementRule**

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

52.4.5.9.25.1 TotalOverheadApplied <TtIOvrhdApld>

Presence: [0..1]

Definition: Total amount of overhead applied to the transaction that impacts the settlement amount.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

52.4.5.9.25.2 TotalFees <TtIFees>

Presence: [0..1]

Definition: Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

52.4.5.9.25.3 TotalTaxes <TtITaxs>

Presence: [0..1]

Definition: Total amount of taxes applied to the transaction that impacts the settlement amount.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text*: Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00007

– *Error Text*: Invalid currency code or too many decimal digits.

52.4.5.9.25.4 CommercialAgreementReference <ComrcIAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

52.4.5.9.25.5 IndividualFee <IndvFee>

Presence: [0..*]

Definition: Individual fee (charge/commission).

Impacted by: C6 AppliedAmountRule

IndividualFee <IndvFee> contains the following elements (see [Fee2](#) on page 1775 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1776
{Or	Code <Cd>	[1..1]	CodeSet		1776
Or}	Proprietary <Prtry>	[1..1]	±		1777
	Basis <Bsis>	[0..1]			1777
{Or	Code <Cd>	[1..1]	CodeSet		1778
Or}	Proprietary <Prtry>	[1..1]	±		1778
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1778
	StandardRate <StdRate>	[0..1]	Rate		1779
	DiscountDetails <DscntDtls>	[0..1]		C14	1779
	Amount <Amt>	[0..1]	Amount	C2, C10	1780
	Rate <Rate>	[0..1]	Rate		1781
	Basis <Bsis>	[0..1]			1781
{Or	Code <Cd>	[1..1]	CodeSet		1781
Or}	Proprietary <Prtry>	[1..1]	±		1781
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1782
	AppliedRate <ApldRate>	[0..1]	Rate		1782
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1783
	RecipientIdentification <Rcptld>	[0..1]	±		1783
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1783

Constraints

• **AppliedAmountRule**

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00400

– *Error Text:* AppliedAmount must be present.

52.4.5.9.25.6 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Individual tax.

IndividualTax <IndvTax> contains the following elements (see [Tax31](#) on page 3111 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3111
{Or	Code <Cd>	[1..1]	CodeSet		3111
Or}	Proprietary <Prtry>	[1..1]	±		3113
	AppliedAmount <ApldAmt>	[1..1]	Amount	C2, C10	3113
	AppliedRate <ApldRate>	[0..1]	Rate		3114
	Country <Ctry>	[0..1]	CodeSet	C11	3114
	RecipientIdentification <RcptId>	[0..1]	±		3114
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3115
	Basis <Bsis>	[0..1]			3115
{Or	Code <Cd>	[1..1]	CodeSet		3115
Or}	Proprietary <Prtry>	[1..1]	±		3115
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3116

52.4.5.9.26 InformativeTaxDetails <InftvTaxDtls>

Presence: [0..1]

Definition: Additional information about tax that does not have an impact on the transaction overhead.

Impacted by: [C32 TaxElementRule](#)

InformativeTaxDetails <InftvTaxDtIs> contains the following elements (see [InformativeTax1](#) on page 3097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	3099
	EUCapitalGain <EUCptlGn>	[0..1]			3099
{Or	Code <Cd>	[1..1]	CodeSet		3100
Or}	Proprietary <Prtry>	[1..1]	±		3100
	EUDividendStatus <EUDvddSts>	[0..1]			3100
{Or	Code <Cd>	[1..1]	CodeSet		3101
Or}	Proprietary <Prtry>	[1..1]	±		3101
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		3101
	IndividualTax <IndvTax>	[0..*]			3101
	Type <Tp>	[1..1]			3102
{Or	Code <Cd>	[1..1]	CodeSet		3102
Or}	Proprietary <Prtry>	[1..1]	±		3104
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	3104
	InformativeRate <InftvRate>	[0..1]	Rate		3105
	Country <Ctry>	[0..1]	CodeSet	C11	3105
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3105
	ExemptionReason <XmptnRsn>	[0..1]			3105
{Or	Code <Cd>	[1..1]	CodeSet		3106
Or}	Proprietary <Prtry>	[1..1]	±		3108
	RecipientIdentification <Rcptld>	[0..1]	±		3109
	TaxCalculationDetails <TaxClctnDtIs>	[0..1]			3109
	Basis <Bsis>	[0..1]			3109
{Or	Code <Cd>	[1..1]	CodeSet		3110
Or}	Proprietary <Prtry>	[1..1]	±		3110
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3110

Constraints

- **TaxElementRule**
 (Rule)

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

52.4.5.9.27 SettlementAndCustodyDetails <SttlmAndCtdyDtIs>

Presence: [0..1]

Definition: Parameters used to execute the settlement of an investment fund order.

SettlementAndCustodyDetails <SttlmAndCtdyDtls> contains the following elements (see [FundSettlementParameters12](#) on page 2919 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2921
	SettlementPlace <SttlmPlc>	[1..1]	±		2921
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2921
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2922
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2922
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2922
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2922
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2924
	AccountIdentification <AcctId>	[0..1]	Text		2924
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2925
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2926
	PartyIdentification <PtyId>	[1..1]	±		2926
	AccountIdentification <AcctId>	[0..1]	Text		2926
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2926
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2928
	AccountIdentification <AcctId>	[0..1]	Text		2928
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2929
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrAgDtls>	[1..1]			2930
	PartyIdentification <PtyId>	[1..1]	±		2930
	AccountIdentification <AcctId>	[0..1]	Text		2930

52.4.5.9.28 PhysicalDeliveryIndicator <PhysDlvryInd>

Presence: [1..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

52.4.5.9.29 PhysicalDeliveryDetails <PhysDlvryDtls>

Presence: [0..1]

Definition: Information related to the physical delivery of the securities.

PhysicalDeliveryDetails <PhysDlvryDtls> contains the following elements (see [DeliveryParameters3](#) on page 2826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2826
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2826

52.4.5.9.30 StaffClientBreakdown <StffCIntBrkdwn>

Presence: [0..4]

Definition: Breakdown of the net amount per type of order.

StaffClientBreakdown <StffCIntBrkdwn> contains the following elements (see [InvestmentFundsOrderBreakdown2](#) on page 2333 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	Amount <Amt>	[1..1]	Amount	C2, C10	2335

52.4.5.9.31 Refund <Rfnd>

Presence: [0..1]

Definition: Return of cash that has been overpaid for a subscription.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

52.4.5.9.32 SubscriptionInterest <SbcptIntrst>

Presence: [0..1]

Definition: Interest received when a subscription amount is paid in advance and then invested by the fund.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

52.4.5.9.33 CashSettlementDetails <CshSttlmDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

CashSettlementDetails <CshSttlmDtls> contains the following elements (see [PaymentTransaction70](#) on page 2759 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2761
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2763
	Type <Tp>	[1..1]	CodeSet		2763
	Number <Nb>	[1..1]	Text		2764
	HolderName <HldrNm>	[1..1]	Text		2764
	StartDate <StartDt>	[0..1]	YearMonth		2764
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2764
	CardIssuerName <CardIssrNm>	[0..1]	Text		2764
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2764
	SecurityCode <SctyCd>	[0..1]	Text		2765
	SequenceNumber <SeqNb>	[0..1]	Text		2765
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2765
	Reference <Ref>	[0..1]	Text		2765
	Debtor <Dbtr>	[0..1]	±		2765
	DebtorAccount <DbtrAcct>	[0..1]	±		2766
	DebtorAgent <DbtrAgt>	[0..1]	±		2766
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2766
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2766
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2767
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2767
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2767
	CreditorAgent <CdtrAgt>	[1..1]	±		2768
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2768
	Creditor <Cdtr>	[0..1]	±		2768
	CreditorAccount <CdtrAcct>	[1..1]	±		2768
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2769
Or	ChequeDetails <ChqDtls>	[1..1]			2769
	Number <Nb>	[0..1]	Text		2769
	PayeeIdentification <Pyeeld>	[1..1]	±		2770
	DraweeIdentification <Drweeld>	[0..1]	±		2770

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlD>	[0..1]	±		2770
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2770
	Number <Nb>	[0..1]	Text		2771
	PayeeIdentification <Pyeeld>	[1..1]	±		2771
	DraweeIdentification <Drweeld>	[0..1]	±		2771
	DrawerIdentification <DrwrlD>	[0..1]	±		2771
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2772
	AccountIdentification <AcctId>	[0..1]	Text		2772
	Type <Tp>	[0..1]	±		2772

52.4.5.9.34 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

Definition: Additional specific settlement information for non-regulated traded funds.

Datatype: [Max350Text](#) on page 3409

52.4.5.9.35 PartialSettlementOfUnits <PrtlSttlmOfUnits>

Presence: [0..1]

Definition: Percentage of units partially settled.

Datatype: [PercentageRate](#) on page 3406

52.4.5.9.36 FinancialAdvice <FinAdvC>

Presence: [0..1]

Definition: Specifies if advice has been received from an independent financial advisor.

Datatype: [FinancialAdvice1Code](#) on page 3281

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

52.4.5.9.37 NegotiatedTrade <NgtdTrad>

Presence: [0..1]

Definition: Specifies whether the trade is negotiated.

Datatype: [NegotiatedTrade1Code](#) on page 3316

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

52.4.5.9.38 LateReport <LateRpt>

Presence: [0..1]

Definition: Specifies whether the order execution confirmation is late.

Datatype: [LateReport1Code](#) on page 3313

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

52.4.5.9.39 PartialSettlementOfCash <PrtlSttlmOfCsh>

Presence: [0..1]

Definition: Percentage of cash partially settled.

Datatype: [PercentageRate](#) on page 3406

52.4.5.9.40 RelatedPartyDetails <RltdPtyDtls>

Presence: [0..10]

Definition: Party related to the transaction.

Impacted by: [C19 OrderOriginatorEligibility1Rule](#)

RelatedPartyDetails <RltdPtyDtls> contains the following elements (see [Intermediary39](#) on page 2623 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2623
	Account <Acct>	[0..1]			2624
	Identification <Id>	[1..1]	Text		2624
	AccountServicer <AcctSvcr>	[0..1]	±		2624
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2624
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		2625
	Role <Role>	[0..1]	±		2625

Constraints

• **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

52.4.5.9.41 Equalisation <Equlstn>

Presence: [0..1]

Definition: Part of an investor's subscription amount that is held by the fund in order to pay incentive / performance fees at the end of the fiscal year.

Equalisation <Equlstn> contains the following elements (see [Equalisation1](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2319
	Rate <Rate>	[0..1]	Rate		2320

52.4.5.9.42 SourceOfCash <SrcOfCsh>

Presence: [0..*]

Definition: Source of cash used for the settlement of the subscription.

SourceOfCash <SrcOfCsh> contains one of the following elements (see [SourceOfCash1Choice](#) on page 2731 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2731
Or}	Proprietary <Prtry>	[1..1]	±		2731

52.4.5.9.43 CustomerConductClassification <CstmrCndctClssfctn>

Presence: [0..1]

Definition: Assessment of the customer's behaviour at the time of the account opening application.

CustomerConductClassification <CstmrCndctClssfctn> contains one of the following elements (see [CustomerConductClassification1Choice](#) on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2145
Or}	Proprietary <Prtry>	[1..1]	±		2146

52.4.5.9.44 TransactionChannelType <TxChanITp>

Presence: [0..1]

Definition: Means by which the investor or account owner submits the open account form.

TransactionChannelType <TxChanITp> contains one of the following elements (see [TransactionChannelType1Choice](#) on page 2455 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2455
Or}	Proprietary <Prtry>	[1..1]	±		2455

52.4.5.9.45 SignatureType <SgntrTp>

Presence: [0..1]

Definition: Type of signature.

SignatureType <SgntrTp> contains one of the following elements (see [SignatureType1Choice](#) on page 2385 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2385
Or}	Proprietary <Prtry>	[1..1]	±		2385

52.4.5.9.46 OrderWaiverDetails <OrdrWvrDtIs>

Presence: [0..1]

Definition: Information about a non-standard order.

Impacted by: [C34 WaiverElementRule](#)

OrderWaiverDetails <OrdrWvrDtIs> contains the following elements (see [OrderWaiver1](#) on page 2318 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			2318
{Or	Code <Cd>	[1..1]	CodeSet		2318
Or}	Proprietary <Prtry>	[1..1]	±		2319
	InformationValue <InfVal>	[0..1]	Text		2319

Constraints

- **WaiverElementRule**

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

52.4.5.10 RequestedSettlementCurrency <ReqdSttlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: C3 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

52.4.5.11 RequestedNAVCurrency <ReqdNAVCcy>

Presence: [0..1]

Definition: Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

Impacted by: C4 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006

- *Error Text:* Invalid currency code.

52.4.5.12 TotalSettlementAmount <TtlSttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

52.4.5.13 BulkCashSettlementDetails <BlkCshSttlmDtIs>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

BulkCashSettlementDetails <BlkCshSttlmDtls> contains the following elements (see [PaymentTransaction70 on page 2759](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2761
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2763
	Type <Tp>	[1..1]	CodeSet		2763
	Number <Nb>	[1..1]	Text		2764
	HolderName <HldrNm>	[1..1]	Text		2764
	StartDate <StartDt>	[0..1]	YearMonth		2764
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2764
	CardIssuerName <CardIssrNm>	[0..1]	Text		2764
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2764
	SecurityCode <SctyCd>	[0..1]	Text		2765
	SequenceNumber <SeqNb>	[0..1]	Text		2765
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2765
	Reference <Ref>	[0..1]	Text		2765
	Debtor <Dbtr>	[0..1]	±		2765
	DebtorAccount <DbtrAcct>	[0..1]	±		2766
	DebtorAgent <DbtrAgt>	[0..1]	±		2766
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2766
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2766
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2767
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2767
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2767
	CreditorAgent <CdtrAgt>	[1..1]	±		2768
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2768
	Creditor <Cdtr>	[0..1]	±		2768
	CreditorAccount <CdtrAcct>	[1..1]	±		2768
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2769
Or	ChequeDetails <ChqDtls>	[1..1]			2769
	Number <Nb>	[0..1]	Text		2769
	PayeeIdentification <Pyeeld>	[1..1]	±		2770
	DraweeIdentification <Drweeld>	[0..1]	±		2770

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <Drwrlid>	[0..1]	±		2770
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2770
	Number <Nb>	[0..1]	Text		2771
	PayeeIdentification <Pyeeld>	[1..1]	±		2771
	DraweeIdentification <Drweeld>	[0..1]	±		2771
	DrawerIdentification <Drwrlid>	[0..1]	±		2771
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2772
	AccountIdentification <AcctId>	[0..1]	Text		2772
	Type <Tp>	[0..1]	±		2772

52.4.6 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	2395

52.4.7 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C15 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

53 MX setr.010.001.04 SubscriptionOrderV04

53.1 MessageDefinition Functionality

Scope

The SubscriptionOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the subscription of one or more financial instruments for one investment fund account.

Usage

The SubscriptionOrder message is used to instruct single subscription orders, that is, a message containing one order for one financial instrument for one investment account. The SubscriptionOrder message may also be used for multiple orders, that is, a message containing several orders for the same investment account for different financial instruments.

For a single subscription order, the SubscriptionOrder message, not the SubscriptionBulkOrder message, must be used.

If there are subscription orders for the same financial instrument but for different accounts that are to be communicated in a single message, then the SubscriptionBulkOrder message must be used.

Outline

The SubscriptionOrderV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. MultipleOrderDetails

General information related to the orders.

E. CopyDetails

Information provided when the message is a copy of a previous message.

F. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

53.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptOrdr>	[1..1]		C2	
	MessageIdentification <MsgId>	[1..1]	±		1179
	PoolReference <PoolRef>	[0..1]	±		1179
	PreviousReference <PrvsRef>	[0..*]	±		1179
	MultipleOrderDetails <MltplOrdrDtls>	[1..1]		C7, C21, C29, C32	1179
	MasterReference <MstrRef>	[0..1]	Text		1183
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		1183
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		1183
	ExpiryDateTime <XpryDtTm>	[0..1]	±		1183
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		1184
	CancellationRight <CxlRght>	[0..1]	±		1184
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	1184
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C22	1185
	IndividualOrderDetails <IndvOrdrDtls>	[1..*]		C23, C24, C27	1185
	OrderReference <OrdrRef>	[1..1]	Text		1189
	ClientReference <ClntRef>	[0..1]	Text		1189
	OrderType <OrdrTp>	[0..10]	±		1189
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C18	1189
	SubAccountForHolding <SubAcctForHldg>	[0..1]	±		1190
	AmountOrUnits <AmtOrUnits>	[1..1]			1190
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1191
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	1191
Or}	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	1192
	Rounding <Rndg>	[0..1]	CodeSet		1192
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C3, C10	1193
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1193
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1193

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1194
	IncomePreference <IncmPref>	[0..1]	CodeSet		1194
	LetterIntentReference <LtrlInttRef>	[0..1]	Text		1195
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1195
	TransactionOverhead <TxOvrhd>	[0..1]		C16	1195
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1196
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	1196
	IndividualTax <IndvTax>	[0..*]	±		1198
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1199
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1201
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1201
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1201
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C4	1202
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1202
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1204
	StaffClientBreakdown <StffCintBrkdwn>	[0..4]	±		1204
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1204
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1205
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1205
	Equalisation <Equlstn>	[0..1]	±		1206
	SourceOfCash <SrcOfCsh>	[0..*]	±		1206
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1206
	TransactionChannelType <TxChanTp>	[0..1]	±		1206
	SignatureType <SgntrTp>	[0..1]	±		1207
	OrderWaiverDetails <OrdWrDtls>	[0..1]	±	C33	1207
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]	±		1208
	TotalSettlementAmount <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1210
	CopyDetails <CpyDtls>	[0..1]	±		1211
	Extension <Xtnsn>	[0..*]	±	C14	1211

53.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountElementRule

(Rule)

Either AccountIdentification or Type must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C2 AccountIdentificationRule

(Rule)

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in MultipleOrderDetails/ InvestmentAccountDetails must be UNKNOWN.

This constraint is defined at the MessageDefinition level.

C3 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 BICFI

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C7 BulkCashSettlementDetailsRule

(Rule)

Either one or more occurrences of IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

C8 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C9 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007

- *Error Text:* Invalid currency code or too many decimal digits.

C10 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 DeliverersCustodianRule

(Rule)

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00394
- *Error Text:* DeliverersCustodianDetails must be present.

C12 DeliverersIntermediary1DetailsRule

(Rule)

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00395
- *Error Text:* DeliverersIntermediary1Details must be present.

C13 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C14 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C15 FeeElementRule

(Rule)

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C16 FeeTaxElementRule

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C17 IBAN

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C18 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C19 OrderOriginatorEligibility1Rule

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C20 OrderOriginatorEligibility2Rule

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

C21 OrderOriginatorEligibility3Rule

(Rule)

Either one or more occurrences of IndividualOrderDetails/RelatedPartyDetails/OrderOriginatorEligibility or InvestmentAccountDetails/OrderOriginatorEligibility may be present, but not both.

C22 PersonElementRule

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C23 PhysicalDeliveryDetails1Rule

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

C24 PhysicalDeliveryDetails2Rule

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397

- *Error Text:* PhysicalDeliveryDetails must be present.

C25 ReceiversCustodianRule

(Rule)

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00392
- *Error Text:* ReceiversCustodianDetails must be present.

C26 ReceiversIntermediary1DetailsRule

(Rule)

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00393
- *Error Text:* ReceiversIntermediary1Details must be present.

C27 RequestedSettlementCurrencyRule

(Rule)

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00398
- *Error Text:* RequestedSettlementCurrency must be the same Currency as in SettlementAmount.

C28 SeriesElementRule

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C29 SettlementCurrencyRule

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/
SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

C30 StandardFeeAmountCalculation

(Rule)

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then
StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C31 StandardFeeRateCalculation

(Rule)

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate
minus DiscountDetails/Rate must equal RequestedRate.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C32 TotalSettlementCurrencyRule

(Rule)

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/
SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C33 WaiverElementRule

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

53.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

53.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

53.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

53.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

53.4.4 MultipleOrderDetails <MltplOrdrDtls>

Presence: [1..1]

Definition: General information related to the orders.

Impacted by: C7 BulkCashSettlementDetailsRule, C21 OrderOriginatorEligibility3Rule, C29 SettlementCurrencyRule, C32 TotalSettlementCurrencyRule

MultipleOrderDetails <MltplOrdrDtls> contains the following **SubscriptionMultipleOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		1183
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		1183
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		1183
	ExpiryDateTime <XpryDtTm>	[0..1]	±		1183
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		1184
	CancellationRight <CxlRght>	[0..1]	±		1184
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	1184
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C22	1185
	IndividualOrderDetails <IndvOrdrDtls>	[1..*]		C23, C24, C27	1185
	OrderReference <OrdrRef>	[1..1]	Text		1189
	ClientReference <ClntRef>	[0..1]	Text		1189
	OrderType <OrdrTp>	[0..10]	±		1189
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C18	1189
	SubAccountForHolding <SubAcctForHldg>	[0..1]	±		1190
	AmountOrUnits <AmtOrUnits>	[1..1]			1190
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1191
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	1191
Or}	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	1192
	Rounding <Rndg>	[0..1]	CodeSet		1192
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C3, C10	1193
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1193
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1193
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1194
	IncomePreference <IncmPref>	[0..1]	CodeSet		1194
	LetterIntentReference <LtrlnttRef>	[0..1]	Text		1195
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1195
	TransactionOverhead <TxOvrhd>	[0..1]		C16	1195
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1196

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	1196
	IndividualTax <IndvTax>	[0..*]	±		1198
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1199
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1201
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1201
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1201
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C4	1202
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1202
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1204
	StaffClientBreakdown <StffClntBrkdwn>	[0..4]	±		1204
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1204
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1205
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1205
	Equalisation <Equlstn>	[0..1]	±		1206
	SourceOfCash <SrcOfCsh>	[0..*]	±		1206
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1206
	TransactionChannelType <TxChanITp>	[0..1]	±		1206
	SignatureType <SgntrTp>	[0..1]	±		1207
	OrderWaiverDetails <OrdWrvrDtls>	[0..1]	±	C33	1207
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]	±		1208
	TotalSettlementAmount <TtSttlmAmt>	[0..1]	Amount	C3, C10	1210

Constraints

- **BulkCashSettlementDetailsRule**

(Rule)

Either one or more occurrences of IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **OrderOriginatorEligibility3Rule**

(Rule)

Either one or more occurrences of IndividualOrderDetails/RelatedPartyDetails/OrderOriginatorEligibility or InvestmentAccountDetails/OrderOriginatorEligibility may be present, but not both.

- **SettlementCurrencyRule**

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

- **TotalSettlementCurrencyRule**

(Rule)

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

53.4.4.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text on page 3409](#)

53.4.4.2 PlaceOfTrade <PlcOfTrad>

Presence: [0..1]

Definition: Market in which the advised trade transaction was executed.

PlaceOfTrade <PlcOfTrad> contains one of the following elements (see [PlaceOfTradeIdentification1Choice on page 2350](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	2350
Or	Exchange <Xchg>	[1..1]	IdentifierSet		2351
Or	Party <Pty>	[1..1]	IdentifierSet	C7	2351
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		2351

53.4.4.3 OrderDateTime <OrdrDtTm>

Presence: [0..1]

Definition: Date and time the order is placed by the investor or its agent.

Datatype: [ISODatetime on page 3391](#)

53.4.4.4 ExpiryDateTime <XpryDtTm>

Presence: [0..1]

Definition: Date on which the order expires.

ExpiryDateTime <XpryDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

53.4.4.5 RequestedFutureTradeDate <ReqdFutrTradDt>

Presence: [0..1]

Definition: Future date at which the investor requests the order to be executed. The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

Datatype: [ISODate](#) on page 3391

53.4.4.6 CancellationRight <CxIRght>

Presence: [0..1]

Definition: Cancellation right of the investor with respect to the investment fund order.

CancellationRight <CxIRght> contains one of the following elements (see [CancellationRight1Choice](#) on page 2386 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2386
Or}	Proprietary <Prtry>	[1..1]	±		2386

53.4.4.7 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [1..1]

Definition: Account impacted by the investment fund order.

Impacted by: [C20 OrderOriginatorEligibility2Rule](#)

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58](#) on page 2149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

53.4.4.8 BeneficiaryDetails <BnfcryDtls>

Presence: [0..*]

Definition: Additional information about the investor.

Impacted by: C22 PersonElementRule

BeneficiaryDetails <BnfcryDtls> contains the following elements (see IndividualPerson31 on page 2804 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2804
	BirthDate <BirthDt>	[0..1]	Date		2804
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2804
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2805
	OtherIdentification <OthrlId>	[0..*]			2805
	Identification <Id>	[1..1]	Text		2805
	IdentificationType <IdTp>	[1..1]			2805
{Or	Code <Cd>	[1..1]	CodeSet		2806
Or}	Proprietary <Prtry>	[1..1]	±		2807
	Issuer <Issr>	[0..1]	Text		2807

Constraints

- **PersonElementRule**

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

53.4.4.9 IndividualOrderDetails <IndvOrdrDtls>

Presence: [1..*]

Definition: Order to invest the investor's principal in an investment fund.

Impacted by: C23 PhysicalDeliveryDetails1Rule , C24 PhysicalDeliveryDetails2Rule ,
C27 RequestedSettlementCurrencyRule

IndividualOrderDetails <IndvOrdrDtls> contains the following **SubscriptionOrder14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		1189
	ClientReference <ClntRef>	[0..1]	Text		1189
	OrderType <OrdrTp>	[0..10]	±		1189
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C18	1189
	SubAccountForHolding <SubAcctForHldg>	[0..1]	±		1190
	AmountOrUnits <AmtOrUnits>	[1..1]			1190
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1191
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	1191
Or}	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	1192
	Rounding <Rndg>	[0..1]	CodeSet		1192
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C3, C10	1193
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1193
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1193
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1194
	IncomePreference <IncmPref>	[0..1]	CodeSet		1194
	LetterIntentReference <LtrInttRef>	[0..1]	Text		1195
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1195
	TransactionOverhead <TxOvrhd>	[0..1]		C16	1195
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1196
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	1196
	IndividualTax <IndvTax>	[0..*]	±		1198
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1199
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1201
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1201
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1201
	RequestedNAVCurrency <ReqdNAVCCcy>	[0..1]	CodeSet	C4	1202
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1202
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1204

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StaffClientBreakdown <StffClntBrkdwn>	[0..4]	±		1204
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1204
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1205
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1205
	Equalisation <Equlstn>	[0..1]	±		1206
	SourceOfCash <SrcOfCsh>	[0..*]	±		1206
	CustomerConductClassification <CstmrCndctClsfctn>	[0..1]	±		1206
	TransactionChannelType <TxChanlTp>	[0..1]	±		1206
	SignatureType <SgntrTp>	[0..1]	±		1207
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±	C33	1207

Constraints

- **PhysicalDeliveryDetails1Rule**

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

 /PhysicalDeliveryDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

- **PhysicalDeliveryDetails2Rule**

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

 /PhysicalDeliveryDetails Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

• **RequestedSettlementCurrencyRule**

(Rule)

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

On Condition

 /RequestedSettlementCurrency is present

And /SettlementAmount is present

Following Must be True

 /RequestedSettlementCurrency Must be equal to /SettlementAmount/
 attribute::Currency

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00398
- *Error Text:* RequestedSettlementCurrency must be the same Currency as in SettlementAmount.

53.4.4.9.1 OrderReference <OrdRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

53.4.4.9.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

53.4.4.9.3 OrderType <OrdTp>

Presence: [0..10]

Definition: Category of the investment fund order.

OrderType <OrdTp> contains one of the following elements (see [FundOrderType4Choice on page 2335](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2336
Or}	Proprietary <Prtry>	[1..1]	±		2336

53.4.4.9.4 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class related to the order.

Impacted by: [C18 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57 on page 1894](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsstP>	[0..1]	Text		1896
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

53.4.4.9.5 SubAccountForHolding <SubAcctForHldg>

Presence: [0..1]

Definition: Subdivision of the account used to segregate specific holdings.

SubAccountForHolding <SubAcctForHldg> contains the following elements (see [SubAccount6 on page 2144](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2145
	Name <Nm>	[0..1]	Text		2145
	Characteristic <Chrtc>	[0..1]	Text		2145
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2145

53.4.4.9.6 AmountOrUnits <AmtOrUnits>

Presence: [1..1]

Definition: Amount of money or the number of units for the subscription order.

AmountOrUnits <AmtOrUnits> contains one of the following **FinancialInstrumentQuantity27Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1191
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C4, C9	1191
Or}	NetAmount <NetAmt>	[1..1]	Amount	C4, C9	1192

53.4.4.9.6.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Number of investment fund units to be subscribed.

Datatype: DecimalNumber on page 3405

53.4.4.9.6.2 GrossAmount <GrssAmt>

Presence: [1..1]

Definition: Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity * Price) + (Fees + Taxes).

Impacted by: C4 ActiveOrHistoricCurrency, C9 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

53.4.4.9.6.3 NetAmount <NetAmt>

Presence: [1..1]

Definition: Amount of money to be invested in the fund.

Net Amount = Quantity * Price.

Impacted by: C4 ActiveOrHistoricCurrency, C9 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

53.4.4.9.7 Rounding <Rndg>

Presence: [0..1]

Definition: Indicates the rounding direction applied to nearest unit.

Datatype: RoundingDirection2Code on page 3347

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

53.4.4.9.8 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

Impacted by: C3 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

53.4.4.9.9 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

53.4.4.9.10 SettlementMethod <SttlmMtd>

Presence: [0..1]

Definition: Method by which the transaction is settled.

Datatype: [DeliveryReceiptType2Code](#) on page 3270

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

53.4.4.9.11 ForeignExchangeDetails <FXDtIs>

Presence: [0..1]

Definition: Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms32](#) on page 1986 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1987
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1987
	ExchangeRate <XchgRate>	[1..1]	Rate		1988
	QuotationDate <QtnDt>	[0..1]	DateTime		1988
	QuotingInstitution <QtgInstn>	[0..1]	±		1988

53.4.4.9.12 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference1Code](#) on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

53.4.4.9.13 LetterIntentReference <LtrInttRef>

Presence: [0..1]

Definition: Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer. A letter of intent program is mainly used in the US market.

Datatype: [Max35Text](#) on page 3409

53.4.4.9.14 AccumulationRightReference <AcmltnRghtRef>

Presence: [0..1]

Definition: Reference of an accumulation right program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

Datatype: [Max35Text](#) on page 3409

53.4.4.9.15 TransactionOverhead <TxOvrhd>

Presence: [0..1]

Definition: Fees (charges/commission) and tax to be applied to the net amount.

Impacted by: [C16 FeeTaxElementRule](#)

TransactionOverhead <TxOvrhd> contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1196
	IndividualFee <IndvFee>	[0..*]	±	C15, C30, C31	1196
	IndividualTax <IndvTax>	[0..*]	±		1198

Constraints

- **FeeTaxElementRule**

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

53.4.4.9.15.1 CommercialAgreementReference <ComrcIAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

53.4.4.9.15.2 IndividualFee <IndvFee>

Presence: [0..*]

Definition: Individual fee (charge/commission).

Impacted by: C15 FeeElementRule, C30 StandardFeeAmountCalculation, C31 StandardFeeRateCalculation

IndividualFee <IndvFee> contains the following elements (see [Fee1](#) on page 1783 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1785
{Or	Code <Cd>	[1..1]	CodeSet		1785
Or}	Proprietary <Prtry>	[1..1]	±		1786
	Basis <Bsis>	[0..1]			1786
{Or	Code <Cd>	[1..1]	CodeSet		1787
Or}	Proprietary <Prtry>	[1..1]	±		1787
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1787
	StandardRate <StdRate>	[0..1]	Rate		1788
	DiscountDetails <DscntDtls>	[0..1]		C14	1788
	Amount <Amt>	[0..1]	Amount	C2, C10	1789
	Rate <Rate>	[0..1]	Rate		1790
	Basis <Bsis>	[0..1]			1790
{Or	Code <Cd>	[1..1]	CodeSet		1790
Or}	Proprietary <Prtry>	[1..1]	±		1791
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C2, C10	1791
	RequestedRate <ReqdRate>	[0..1]	Rate		1792
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1792
	RecipientIdentification <RcptId>	[0..1]	±		1792

Constraints

- **FeeElementRule**

(Rule)

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

- **StandardFeeAmountCalculation**

(Rule)

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

• **StandardFeeRateCalculation**

(Rule)

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

53.4.4.9.15.3 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Individual tax amount.

IndividualTax <IndvTax> contains the following elements (see [Tax30](#) on page 3116 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3117
{Or	Code <Cd>	[1..1]	CodeSet		3117
Or}	Proprietary <Prtry>	[1..1]	±		3119
	Tax <Tax>	[0..1]			3119
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	3119
Or}	Rate <Rate>	[1..1]	Rate		3120
	Country <Ctry>	[0..1]	CodeSet	C11	3120
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3120
	ExemptionReason <XmptnRsn>	[0..1]			3121
{Or	Code <Cd>	[1..1]	CodeSet		3121
Or}	Proprietary <Prtry>	[1..1]	±		3124
	RecipientIdentification <Rcptld>	[0..1]	±		3124
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3124
	Basis <Bsis>	[1..1]			3125
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3125

53.4.4.9.16 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

Presence: [0..1]

Definition: Parameters used to execute the settlement of an investment fund order.

SettlementAndCustodyDetails <SttlmAndCtdyDtls> contains the following elements (see FundSettlementParameters11 on page 2930 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2932
	SettlementPlace <SttlmPlc>	[1..1]	±		2932
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2932
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2933
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2933
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2933
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2933
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2935
	PartyIdentification <PtyId>	[1..1]	±		2935
	AccountIdentification <AcctId>	[0..1]	Text		2935
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2935
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2936
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2937
	PartyIdentification <PtyId>	[1..1]	±		2937
	AccountIdentification <AcctId>	[0..1]	Text		2937
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2937
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2939
	PartyIdentification <PtyId>	[1..1]	±		2939
	AccountIdentification <AcctId>	[0..1]	Text		2939
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2939
	PartyIdentification <PtyId>	[1..1]	±		2940
	AccountIdentification <AcctId>	[0..1]	Text		2940
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2940
	PartyIdentification <PtyId>	[1..1]	±		2940
	AccountIdentification <AcctId>	[0..1]	Text		2940

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2941
	PartyIdentification <PtyId>	[1..1]	±		2941
	AccountIdentification <AcctId>	[0..1]	Text		2941

53.4.4.9.17 PhysicalDeliveryIndicator <PhysDlvryInd>

Presence: [1..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

53.4.4.9.18 PhysicalDeliveryDetails <PhysDlvryDtls>

Presence: [0..1]

Definition: Information related to the physical delivery of the securities.

PhysicalDeliveryDetails <PhysDlvryDtls> contains the following elements (see [NameAndAddress4](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2832
	Address <Adr>	[1..1]	±		2833

53.4.4.9.19 RequestedSettlementCurrency <ReqdSttlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: [C3 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode](#) on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

53.4.4.9.20 RequestedNAVCurrency <ReqdNAVCcy>

Presence: [0..1]

Definition: Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

Impacted by: C4 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

53.4.4.9.21 CashSettlementDetails <CshSttlmDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

CashSettlementDetails <CshSttlmDtls> contains the following elements (see [PaymentTransaction70](#) on page 2759 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2761
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2763
	Type <Tp>	[1..1]	CodeSet		2763
	Number <Nb>	[1..1]	Text		2764
	HolderName <HldrNm>	[1..1]	Text		2764
	StartDate <StartDt>	[0..1]	YearMonth		2764
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2764
	CardIssuerName <CardIssrNm>	[0..1]	Text		2764
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2764
	SecurityCode <SctyCd>	[0..1]	Text		2765
	SequenceNumber <SeqNb>	[0..1]	Text		2765
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2765
	Reference <Ref>	[0..1]	Text		2765
	Debtor <Dbtr>	[0..1]	±		2765
	DebtorAccount <DbtrAcct>	[0..1]	±		2766
	DebtorAgent <DbtrAgt>	[0..1]	±		2766
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2766
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2766
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2767
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2767
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2767
	CreditorAgent <CdtrAgt>	[1..1]	±		2768
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2768
	Creditor <Cdtr>	[0..1]	±		2768
	CreditorAccount <CdtrAcct>	[1..1]	±		2768
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2769
Or	ChequeDetails <ChqDtls>	[1..1]			2769
	Number <Nb>	[0..1]	Text		2769
	PayeeIdentification <Pyeeld>	[1..1]	±		2770
	DraweeIdentification <Drweeld>	[0..1]	±		2770

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlD>	[0..1]	±		2770
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2770
	Number <Nb>	[0..1]	Text		2771
	PayeeIdentification <Pyeeld>	[1..1]	±		2771
	DraweeIdentification <Drweeld>	[0..1]	±		2771
	DrawerIdentification <DrwrlD>	[0..1]	±		2771
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2772
	AccountIdentification <AcctId>	[0..1]	Text		2772
	Type <Tp>	[0..1]	±		2772

53.4.4.9.22 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

Definition: Additional specific settlement information for non-regulated traded funds.

Datatype: Max350Text on page 3409

53.4.4.9.23 StaffClientBreakdown <StffClntBrkdwn>

Presence: [0..4]

Definition: Breakdown of the net amount per type of order.

StaffClientBreakdown <StffClntBrkdwn> contains the following elements (see [InvestmentFundsOrderBreakdown2](#) on page 2333 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	Amount <Amt>	[1..1]	Amount	C2, C10	2335

53.4.4.9.24 FinancialAdvice <FinAdvC>

Presence: [0..1]

Definition: Specifies if advice has been received from an independent financial advisor.

Datatype: FinancialAdvice1Code on page 3281

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.

CodeName	Name	Definition
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

53.4.4.9.25 NegotiatedTrade <NgtdTrad>

Presence: [0..1]

Definition: Specifies whether the trade is negotiated.

Datatype: [NegotiatedTrade1Code](#) on page 3316

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

53.4.4.9.26 RelatedPartyDetails <RltdPtyDtls>

Presence: [0..10]

Definition: Party related to the transaction.

Impacted by: [C19 OrderOriginatorEligibility1Rule](#)

RelatedPartyDetails <RltdPtyDtls> contains the following elements (see [Intermediary40](#) on page 2626 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2626
	Account <Acct>	[0..1]			2627
	Identification <Id>	[1..1]	Text		2627
	AccountServicer <AcctSvcr>	[0..1]	±		2627
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2627
	Role <Role>	[0..1]	±		2628

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

53.4.4.9.27 Equalisation <Equlstn>

Presence: [0..1]

Definition: Part of an investor's subscription amount that is held by the fund in order to pay incentive/performance fees at the end of the fiscal year.

Equalisation <Equlstn> contains the following elements (see [Equalisation1](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2319
	Rate <Rate>	[0..1]	Rate		2320

53.4.4.9.28 SourceOfCash <SrcOfCsh>

Presence: [0..*]

Definition: Source of cash used for the settlement of the subscription.

SourceOfCash <SrcOfCsh> contains one of the following elements (see [SourceOfCash1Choice](#) on page 2731 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2731
Or}	Proprietary <Prtry>	[1..1]	±		2731

53.4.4.9.29 CustomerConductClassification <CstmrCndctClssfctn>

Presence: [0..1]

Definition: Assessment of the customer's behaviour at the time of the account opening application.

CustomerConductClassification <CstmrCndctClssfctn> contains one of the following elements (see [CustomerConductClassification1Choice](#) on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2145
Or}	Proprietary <Prtry>	[1..1]	±		2146

53.4.4.9.30 TransactionChannelType <TxChanlTp>

Presence: [0..1]

Definition: Means by which the investor or account owner submits the open account form.

TransactionChannelType <TxChanITp> contains one of the following elements (see [TransactionChannelType1Choice](#) on page 2455 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2455
Or}	Proprietary <Prtry>	[1..1]	±		2455

53.4.4.9.31 SignatureType <SgntrTp>

Presence: [0..1]

Definition: Type of signature.

SignatureType <SgntrTp> contains one of the following elements (see [SignatureType1Choice](#) on page 2385 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2385
Or}	Proprietary <Prtry>	[1..1]	±		2385

53.4.4.9.32 OrderWaiverDetails <OrdrWvrDtIs>

Presence: [0..1]

Definition: Information about a non-standard order.

Impacted by: [C33 WaiverElementRule](#)

OrderWaiverDetails <OrdrWvrDtIs> contains the following elements (see [OrderWaiver1](#) on page 2318 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			2318
{Or	Code <Cd>	[1..1]	CodeSet		2318
Or}	Proprietary <Prtry>	[1..1]	±		2319
	InformationValue <InfVal>	[0..1]	Text		2319

Constraints

- **WaiverElementRule**

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- *Error severity:* Fatal

- *Error Code:*

– *Error Text:*

53.4.4.10 BulkCashSettlementDetails <BlkCshSttlmDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

BulkCashSettlementDetails <BlkCshSttlmDtls> contains the following elements (see [PaymentTransaction70 on page 2759](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2761
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2763
	Type <Tp>	[1..1]	CodeSet		2763
	Number <Nb>	[1..1]	Text		2764
	HolderName <HldrNm>	[1..1]	Text		2764
	StartDate <StartDt>	[0..1]	YearMonth		2764
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2764
	CardIssuerName <CardIssrNm>	[0..1]	Text		2764
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2764
	SecurityCode <SctyCd>	[0..1]	Text		2765
	SequenceNumber <SeqNb>	[0..1]	Text		2765
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2765
	Reference <Ref>	[0..1]	Text		2765
	Debtor <Dbtr>	[0..1]	±		2765
	DebtorAccount <DbtrAcct>	[0..1]	±		2766
	DebtorAgent <DbtrAgt>	[0..1]	±		2766
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2766
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2766
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2767
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2767
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2767
	CreditorAgent <CdtrAgt>	[1..1]	±		2768
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2768
	Creditor <Cdtr>	[0..1]	±		2768
	CreditorAccount <CdtrAcct>	[1..1]	±		2768
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2769
Or	ChequeDetails <ChqDtls>	[1..1]			2769
	Number <Nb>	[0..1]	Text		2769
	PayeeIdentification <Pyeeld>	[1..1]	±		2770
	DraweeIdentification <Drweeld>	[0..1]	±		2770

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <Drwrlid>	[0..1]	±		2770
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2770
	Number <Nb>	[0..1]	Text		2771
	PayeeIdentification <Pyeeld>	[1..1]	±		2771
	DraweeIdentification <Drweeld>	[0..1]	±		2771
	DrawerIdentification <Drwrlid>	[0..1]	±		2771
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2772
	AccountIdentification <Acctld>	[0..1]	Text		2772
	Type <Tp>	[0..1]	±		2772

53.4.4.11 TotalSettlementAmount <TtlSttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007

– *Error Text:* Invalid currency code or too many decimal digits.

53.4.5 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	2395

53.4.6 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C14 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

54 MX setr.011.001.04 SubscriptionOrderCancellationRequestV04

54.1 MessageDefinition Functionality

Scope

The SubscriptionOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SubscriptionOrder.

Usage

The SubscriptionOrderCancellationRequest message is used to request the cancellation of one or more individual orders.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more individual orders, the order reference of each individual order listed in the original SubscriptionOrder message is specified in the order reference element. The message identification of the SubscriptionOrder message which contains the individual orders to be cancelled may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a SubscriptionOrderCancellationRequest is made using an OrderCancellationStatusReport message.

Outline

The SubscriptionOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. MasterReference
Reference assigned to a set of orders or trades in order to link them together.
- E. OrderReferences
Identification of the individual order to be cancelled.
- F. CopyDetails
Information provided when the message is a copy of a previous message.

54.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptOrdrCxlReq>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		1214
	PoolReference <PoolRef>	[0..1]	±		1214
	PreviousReference <PrvsRef>	[0..1]	±		1214
	MasterReference <MstrRef>	[0..1]	Text		1214
	OrderReferences <OrdrRefs>	[1..*]			1215
	OrderReference <OrdrRef>	[1..1]	Text		1215
	ClientReference <ClntRef>	[0..1]	Text		1215
	CancellationReference <CxlRef>	[0..1]	Text		1215
	CancellationReason <CxlRsn>	[0..1]	±		1215
	CopyDetails <CpyDtls>	[0..1]	±		1216

54.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

54.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

54.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

54.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

54.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

54.4.4 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text on page 3409](#)

54.4.5 OrderReferences <OrdrRefs>

Presence: [1..*]

Definition: Identification of the individual order to be cancelled.

OrderReferences <OrdrRefs> contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		1215
	ClientReference <ClntRef>	[0..1]	Text		1215
	CancellationReference <CxIRef>	[0..1]	Text		1215
	CancellationReason <CxIRsn>	[0..1]	±		1215

54.4.5.1 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

54.4.5.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

54.4.5.3 CancellationReference <CxIRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

54.4.5.4 CancellationReason <CxIRsn>

Presence: [0..1]

Definition: Reason for the cancellation.

CancellationReason <CxIRsn> contains one of the following elements (see [CancellationReason32Choice on page 2384](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		2384
Or}	Proprietary <Prtry>	[1..1]	±		2384

54.4.6 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	2395

55 MX setr.012.001.04 SubscriptionOrderConfirmationV04

55.1 MessageDefinition Functionality

Scope

The SubscriptionOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a SubscriptionOrder instruction.

Usage

The SubscriptionOrderConfirmation message is used to confirm the execution of one or more individual orders.

A SubscriptionOrder message containing more than one individual order may be responded to by more than one SubscriptionOrderConfirmation message, as the valuation cycle of the financial instruments in each individual order may be different. When a SubscriptionOrderConfirmation message contains fewer confirmations than originally instructed in the original SubscriptionOrder message, there is no specification indication in the confirmation for this. Reconciliation must be based on the references.

Each individual order confirmation specified is identified in DealReference. The reference of the original individual order is specified in OrderReference. The message identification of the SubscriptionOrder message in which the individual orders was conveyed may also be quoted in RelatedReference but this is not recommended.

A SubscriptionOrder must in all cases be responded to by a SubscriptionOrderConfirmation message and in no circumstances by a SubscriptionBulkOrderConfirmation message.

If the executing party needs to confirm one or more subscription orders for the same financial instrument, then a SubscriptionBulkOrderConfirmation message must be used.

When the message is used to convey a confirmation amendment/s, the AmendmentIndicator must be present with the value 'true' or '1'. When this is the case, the message must only contain a confirmation amendment/s and not contain both a confirmation amendment/s and a 'new' confirmation/s.

Outline

The SubscriptionOrderConfirmationV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. RelatedReference
Reference to a linked message that was previously received.

E. MultipleExecutionDetails

General information related to the execution of the orders.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

55.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptOrdrConf>	[1..1]		C2, C22	
	MessageIdentification <MsgId>	[1..1]	±		1229
	PoolReference <PoolRef>	[0..1]	±		1229
	PreviousReference <PrvsRef>	[0..*]	±		1229
	RelatedReference <RltdRef>	[0..1]	±		1229
	MultipleExecutionDetails <MltplExctnDtls>	[1..1]		C8, C21, C31, C33	1230
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1234
	MasterReference <MstrRef>	[0..1]	Text		1234
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		1234
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		1234
	ReceivedDateTime <RcvdDtTm>	[0..1]	DateTime		1234
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		1234
	CancellationRight <CxlRght>	[0..1]	±		1235
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	1235
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C23	1235
	IndividualExecutionDetails <IndvExctnDtls>	[1..*]		C24, C25, C26, C29	1236
	OrderReference <OrdrRef>	[1..1]	Text		1239
	ClientReference <ClntRef>	[0..1]	Text		1240
	DealReference <DealRef>	[1..1]	Text		1240
	OrderType <OrdrTp>	[0..10]	±		1240
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	1240
	SubAccountForHolding <SubAcctForHldg>	[0..1]	±		1241
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1241
	Rounding <Rndg>	[0..1]	CodeSet		1242
	NetAmount <NetAmt>	[0..1]	Amount	C3, C10	1242
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C10	1243
	TradeDateTime <TradDtTm>	[1..1]	±		1243

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingPriceDetails <DealgPricDtls>	[1..1]	±		1244
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1244
	SettlementAmount <SttlmAmt>	[1..1]	Amount	C3, C10	1244
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1245
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1245
	PartiallyExecutedIndicator <PrtlyExctdInd>	[1..1]	Indicator		1246
	BestExecution <BestExctn>	[0..1]	CodeSet		1246
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		1246
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1246
	ForeignExchangeDetails <FXDtls>	[0..*]	±		1247
	IncomePreference <IncmPref>	[0..1]	CodeSet		1247
	LetterIntentReference <LtrInttRef>	[0..1]	Text		1248
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1248
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C34	1248
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1249
	TotalFees <TtlFees>	[0..1]	Amount	C3, C10	1250
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C3, C10	1250
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1251
	IndividualFee <IndvFee>	[0..*]	±	C6	1251
	IndividualTax <IndvTax>	[0..*]	±		1253
	InformativeTaxDetails <InftvTaxDtls>	[0..1]	±	C32	1253
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1255
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1257
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1257
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1257
	RequestedNAVCurrency <ReqdNAVCCcy>	[0..1]	CodeSet	C4	1258
	Refund <Rfnd>	[0..1]	Amount	C3, C10	1258
	SubscriptionInterest <SbcptIntrst>	[0..1]	Amount	C3, C10	1259
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1259

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1261
	PartialSettlementOfUnits <PrtlSttlmOfUnits>	[0..1]	Rate		1261
	PartialSettlementOfCash <PrtlSttlmOfCsh>	[0..1]	Rate		1261
	StaffClientBreakdown <StffClntBrkdown>	[0..4]	±		1261
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1262
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1262
	LateReport <LateRpt>	[0..1]	CodeSet		1262
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1262
	Equalisation <Equlstn>	[0..1]	±		1263
	SourceOfCash <SrcOfCsh>	[0..*]	±		1263
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1264
	TransactionChannelType <TxChanTp>	[0..1]	±		1264
	SignatureType <SgntrTp>	[0..1]	±		1264
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±	C35	1264
	TotalSettlementAmount <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1265
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]	±		1266
	CopyDetails <CpyDtls>	[0..1]	±		1268
	Extension <Xtnsn>	[0..*]	±	C15	1268

55.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountElementRule

(Rule)

Either AccountIdentification or Type must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C2 AccountIdentificationRule

(Rule)

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in MultipleExecutionDetails/InvestmentAccountDetails must be UNKNOWN.

This constraint is defined at the MessageDefinition level.

C3 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C4 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C5 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C6 AppliedAmountRule

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

C7 BICFI

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C8 BulkCashSettlementDetailsRule

(Rule)

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

C9 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C10 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C11 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C12 DeliverersCustodianRule

(Rule)

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00394
- *Error Text:* DeliverersCustodianDetails must be present.

C13 DeliverersIntermediary1DetailsRule

(Rule)

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00395
- *Error Text:* DeliverersIntermediary1Details must be present.

C14 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C15 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C16 IBAN

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C17 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C18 NonStandardsSLAReferenceRule

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C19 OrderOriginatorEligibility1Rule

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C20 OrderOriginatorEligibility2Rule

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

C21 OrderOriginatorEligibility3Rule

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualExecutionDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

C22 OrderReferenceRule

(Rule)

If this message is not solicited by the receiver, then the value of the OrderReference element in every occurrence of MultipleExecutionDetails/IndividualExecutionDetails must be UNSOLICITED.

This constraint is defined at the MessageDefinition level.

C23 PersonElementRule

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C24 PhysicalDeliveryDetails1Rule

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

C25 PhysicalDeliveryDetails2Rule

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

C26 PriceDifferenceReasonRule

(Rule)

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

C27 ReceiversCustodianRule

(Rule)

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00392
- *Error Text:* ReceiversCustodianDetails must be present.

C28 ReceiversIntermediary1DetailsRule

(Rule)

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00393
- *Error Text:* ReceiversIntermediary1Details must be present.

C29 RequestedSettlementCurrencyRule

(Rule)

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00398
- *Error Text:* RequestedSettlementCurrency must be the same Currency as in SettlementAmount.

C30 SeriesElementRule

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C31 SettlementCurrencyRule

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/ SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

C32 TaxElementRule

(Rule)

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C33 TotalSettlementCurrencyRule

(Rule)

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/ SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C34 TransactionOverheadElementRule

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C35 WaiverElementRule

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

55.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

55.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

55.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9 on page 2005](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

55.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8 on page 2004](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

55.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

55.4.5 MultipleExecutionDetails <MltplExctnDtls>

Presence: [1..1]

Definition: General information related to the execution of the orders.

Impacted by: [C8 BulkCashSettlementDetailsRule](#), [C21 OrderOriginatorEligibility3Rule](#), [C31 SettlementCurrencyRule](#), [C33 TotalSettlementCurrencyRule](#)

MultipleExecutionDetails <MltplExctnDtls> contains the following **SubscriptionMultipleExecution5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1234
	MasterReference <MstrRef>	[0..1]	Text		1234
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		1234
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		1234
	ReceivedDateTime <RcvdDtTm>	[0..1]	DateTime		1234
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		1234
	CancellationRight <CxlRght>	[0..1]	±		1235
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±	C20	1235
	BeneficiaryDetails <BnfcryDtls>	[0..*]	±	C23	1235
	IndividualExecutionDetails <IndvExctnDtls>	[1..*]		C24, C25, C26, C29	1236
	OrderReference <OrdrRef>	[1..1]	Text		1239
	ClientReference <ClntRef>	[0..1]	Text		1240
	DealReference <DealRef>	[1..1]	Text		1240
	OrderType <OrdrTp>	[0..10]	±		1240
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	1240
	SubAccountForHolding <SubAcctForHldg>	[0..1]	±		1241
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1241
	Rounding <Rndg>	[0..1]	CodeSet		1242
	NetAmount <NetAmt>	[0..1]	Amount	C3, C10	1242
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C10	1243
	TradeDateTime <TradDtTm>	[1..1]	±		1243
	DealingPriceDetails <DealgPricDtls>	[1..1]	±		1244
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1244
	SettlementAmount <SttlmAmt>	[1..1]	Amount	C3, C10	1244
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1245
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1245
	PartiallyExecutedIndicator <PrtyExctdInd>	[1..1]	Indicator		1246

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BestExecution <BestExctn>	[0..1]	CodeSet		1246
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		1246
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1246
	ForeignExchangeDetails <FXDtIs>	[0..*]	±		1247
	IncomePreference <IncmPref>	[0..1]	CodeSet		1247
	LetterIntentReference <LtrlInttRef>	[0..1]	Text		1248
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1248
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C34	1248
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1249
	TotalFees <TtlFees>	[0..1]	Amount	C3, C10	1250
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C3, C10	1250
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1251
	IndividualFee <IndvFee>	[0..*]	±	C6	1251
	IndividualTax <IndvTax>	[0..*]	±		1253
	InformativeTaxDetails <InftvTaxDtIs>	[0..1]	±	C32	1253
	SettlementAndCustodyDetails <SttlmAndCtdyDtIs>	[0..1]	±		1255
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1257
	PhysicalDeliveryDetails <PhysDlvryDtIs>	[0..1]	±		1257
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1257
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C4	1258
	Refund <Rfnd>	[0..1]	Amount	C3, C10	1258
	SubscriptionInterest <SbcptIntrst>	[0..1]	Amount	C3, C10	1259
	CashSettlementDetails <CshSttlmDtIs>	[0..1]	±		1259
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1261
	PartialSettlementOfUnits <PrtlSttlmOfUnits>	[0..1]	Rate		1261
	PartialSettlementOfCash <PrtlSttlmOfCsh>	[0..1]	Rate		1261
	StaffClientBreakdown <StffClntBrkdwn>	[0..4]	±		1261
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1262

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1262
	LateReport <LateRpt>	[0..1]	CodeSet		1262
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1262
	Equalisation <Equlstn>	[0..1]	±		1263
	SourceOfCash <SrcOfCsh>	[0..*]	±		1263
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1264
	TransactionChannelType <TxChanITp>	[0..1]	±		1264
	SignatureType <SgntrTp>	[0..1]	±		1264
	OrderWaiverDetails <OrdWrDtls>	[0..1]	±	C35	1264
	TotalSettlementAmount <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1265
	BulkCashSettlementDetails <BlkCshSttlmDtls>	[0..1]	±		1266

Constraints

- **BulkCashSettlementDetailsRule**

(Rule)

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **OrderOriginatorEligibility3Rule**

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualExecutionDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **SettlementCurrencyRule**

(Rule)

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

- **TotalSettlementCurrencyRule**

(Rule)

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

55.4.5.1 AmendmentIndicator <AmdmntInd>

Presence: [0..1]

Definition: Indicates whether the confirmation is an amendment of a previous confirmation.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

55.4.5.2 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text](#) on page 3409

55.4.5.3 PlaceOfTrade <PlcOfTrad>

Presence: [0..1]

Definition: Market in which the advised trade transaction was executed.

PlaceOfTrade <PlcOfTrad> contains one of the following elements (see [PlaceOfTradeIdentification1Choice](#) on page 2350 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	2350
Or	Exchange <Xchg>	[1..1]	IdentifierSet		2351
Or	Party <Pty>	[1..1]	IdentifierSet	C7	2351
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		2351

55.4.5.4 OrderDateTime <OrdrDtTm>

Presence: [0..1]

Definition: Date and time at which the order was placed by the investor or its agent.

Datatype: [ISODateTime](#) on page 3391

55.4.5.5 ReceivedDateTime <RcvdDtTm>

Presence: [0..1]

Definition: Date and time the order was received by the executing party, for example, the transfer agent.

Datatype: [ISODateTime](#) on page 3391

55.4.5.6 RequestedFutureTradeDate <ReqdFutrTradDt>

Presence: [0..1]

Definition: Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

Datatype: [ISODate](#) on page 3391

55.4.5.7 CancellationRight <CxIRght>

Presence: [0..1]

Definition: Cancellation right of the investor with respect to the investment fund order.

CancellationRight <CxIRght> contains one of the following elements (see [CancellationRight1Choice](#) on page 2386 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2386
Or}	Proprietary <Prtry>	[1..1]	±		2386

55.4.5.8 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [1..1]

Definition: Account impacted by the investment fund order execution.

Impacted by: [C20 OrderOriginatorEligibility2Rule](#)

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58](#) on page 2149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

55.4.5.9 BeneficiaryDetails <BnfcryDtls>

Presence: [0..*]

Definition: Additional information about the investor.

Impacted by: C23 PersonElementRule

BeneficiaryDetails <BnfcryDtIs> contains the following elements (see IndividualPerson32 on page 2807 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2808
	BirthDate <BirthDt>	[0..1]	Date		2808
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2808
	OtherIdentification <OthrlId>	[0..*]			2808
	Identification <Id>	[1..1]	Text		2809
	IdentificationType <IdTp>	[1..1]			2809
{Or	Code <Cd>	[1..1]	CodeSet		2809
Or}	Proprietary <Prtry>	[1..1]	±		2810
	Issuer </Issr>	[0..1]	Text		2810

Constraints

- **PersonElementRule**

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

55.4.5.10 IndividualExecutionDetails <IndvExctnDtIs>

Presence: [1..*]

Definition: Execution of a subscription order.

Impacted by: C24 PhysicalDeliveryDetails1Rule, C25 PhysicalDeliveryDetails2Rule, C26 PriceDifferenceReasonRule, C29 RequestedSettlementCurrencyRule

IndividualExecutionDetails <IndvExctnDtls> contains the following **SubscriptionExecution13** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		1239
	ClientReference <ClntRef>	[0..1]	Text		1240
	DealReference <DealRef>	[1..1]	Text		1240
	OrderType <OrdrTp>	[0..10]	±		1240
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	1240
	SubAccountForHolding <SubAcctForHldg>	[0..1]	±		1241
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1241
	Rounding <Rndg>	[0..1]	CodeSet		1242
	NetAmount <NetAmt>	[0..1]	Amount	C3, C10	1242
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C10	1243
	TradeDateTime <TradDtTm>	[1..1]	±		1243
	DealingPriceDetails <DealgPricDtls>	[1..1]	±		1244
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1244
	SettlementAmount <SttlmAmt>	[1..1]	Amount	C3, C10	1244
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1245
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1245
	PartiallyExecutedIndicator <PrtyExctdInd>	[1..1]	Indicator		1246
	BestExecution <BestExctn>	[0..1]	CodeSet		1246
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		1246
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1246
	ForeignExchangeDetails <FXDtls>	[0..*]	±		1247
	IncomePreference <IncmPref>	[0..1]	CodeSet		1247
	LetterIntentReference <LtrlInttRef>	[0..1]	Text		1248
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1248
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C34	1248
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1249
	TotalFees <TtlFees>	[0..1]	Amount	C3, C10	1250

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalTaxes <TtlTxs>	[0..1]	Amount	C3, C10	1250
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1251
	IndividualFee <IndvFee>	[0..*]	±	C6	1251
	IndividualTax <IndvTax>	[0..*]	±		1253
	InformativeTaxDetails <InftvTaxDtls>	[0..1]	±	C32	1253
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1255
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1257
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1257
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1257
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C4	1258
	Refund <Rfnd>	[0..1]	Amount	C3, C10	1258
	SubscriptionInterest <SbcptIntrst>	[0..1]	Amount	C3, C10	1259
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1259
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1261
	PartialSettlementOfUnits <PrtlSttlmOfUnits>	[0..1]	Rate		1261
	PartialSettlementOfCash <PrtlSttlmOfCsh>	[0..1]	Rate		1261
	StaffClientBreakdown <StffClntBrkdwn>	[0..4]	±		1261
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1262
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1262
	LateReport <LateRpt>	[0..1]	CodeSet		1262
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1262
	Equalisation <Equlstn>	[0..1]	±		1263
	SourceOfCash <SrcOfCsh>	[0..*]	±		1263
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1264
	TransactionChannelType <TxChanlTp>	[0..1]	±		1264
	SignatureType <SgntrTp>	[0..1]	±		1264
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±	C35	1264

Constraints

- **PhysicalDeliveryDetails1Rule**
 (Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

 /PhysicalDeliveryDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

- **PhysicalDeliveryDetails2Rule**

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

 /PhysicalDeliveryDetails Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

- **PriceDifferenceReasonRule**

(Rule)

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

- **RequestedSettlementCurrencyRule**

(Rule)

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

On Condition

 /RequestedSettlementCurrency is present

And /SettlementAmount is present

Following Must be True

 /RequestedSettlementCurrency Must be equal to /SettlementAmount/
attribute::Currency

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00398
- *Error Text:* RequestedSettlementCurrency must be the same Currency as in SettlementAmount.

55.4.5.10.1 OrderReference <OrdRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

55.4.5.10.2 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

55.4.5.10.3 DealReference <DealRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

Datatype: [Max35Text on page 3409](#)

55.4.5.10.4 OrderType <OrdrTp>

Presence: [0..10]

Definition: Category of the investment fund order.

OrderType <OrdrTp> contains one of the following elements (see [FundOrderType4Choice on page 2335](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2336
Or}	Proprietary <Prtry>	[1..1]	±		2336

55.4.5.10.5 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class to which the investment fund order execution is related.

Impacted by: [C17 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57 on page 1894](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsstP>	[0..1]	Text		1896
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

55.4.5.10.6 SubAccountForHolding <SubAcctForHldg>

Presence: [0..1]

Definition: Subdivision of the account used to segregate specific holdings.

SubAccountForHolding <SubAcctForHldg> contains the following elements (see [SubAccount6 on page 2144](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2145
	Name <Nm>	[0..1]	Text		2145
	Characteristic <Chrtc>	[0..1]	Text		2145
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2145

55.4.5.10.7 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Number of investment fund units subscribed.

Datatype: [DecimalNumber on page 3405](#)

55.4.5.10.8 Rounding <Rndg>

Presence: [0..1]

Definition: Indicates the rounding direction applied to nearest unit.

Datatype: [RoundingDirection2Code on page 3347](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

55.4.5.10.9 NetAmount <NetAmt>

Presence: [0..1]

Definition: Amount of money invested in the fund.

Net Amount = Quantity * Price.

Impacted by: [C3 ActiveCurrency](#), [C10 CurrencyAmount](#)

Datatype: [ActiveCurrencyAndAmount on page 3238](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

55.4.5.10.10 GrossAmount <GrssAmt>

Presence: [0..1]

Definition: Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity * Price) + (Fees + Taxes).

Impacted by: C3 ActiveCurrency , C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

55.4.5.10.11 TradeDateTime <TradDtTm>

Presence: [1..1]

Definition: Date and time at which a price is applied, according to the terms stated in the prospectus.

TradeDateTime <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

55.4.5.10.12 DealingPriceDetails <DealgPricDtls>

Presence: [1..1]

Definition: Price at which the order was executed.

DealingPriceDetails <DealgPricDtls> contains the following elements (see [UnitPrice22](#) on page 2858 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2858
	Value <Val>	[1..1]	±		2858
	PriceMethod <PricMtd>	[0..1]	CodeSet		2859
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2859
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2859
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2860
{Or	Code <Cd>	[1..1]	CodeSet		2860
Or}	Proprietary <Prtry>	[1..1]	±		2860
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2860

55.4.5.10.13 InformativePriceDetails <InftvPricDtls>

Presence: [0..2]

Definition: Other quoted price than the one at which the order was executed.

InformativePriceDetails <InftvPricDtls> contains the following elements (see [UnitPrice22](#) on page 2858 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2858
	Value <Val>	[1..1]	±		2858
	PriceMethod <PricMtd>	[0..1]	CodeSet		2859
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2859
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2859
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2860
{Or	Code <Cd>	[1..1]	CodeSet		2860
Or}	Proprietary <Prtry>	[1..1]	±		2860
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2860

55.4.5.10.14 SettlementAmount <SttlmAmt>

Presence: [1..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

Impacted by: C3 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

55.4.5.10.15 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

55.4.5.10.16 SettlementMethod <SttlmMtd>

Presence: [0..1]

Definition: Method by which the transaction is settled.

Datatype: DeliveryReceiptType2Code on page 3270

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.

CodeName	Name	Definition
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

55.4.5.10.17 PartiallyExecutedIndicator <PrtlyExctdInd>

Presence: [1..1]

Definition: Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

55.4.5.10.18 BestExecution <BestExctn>

Presence: [0..1]

Definition: Specifies that the execution was subject to best execution rules as defined by MiFID.

Datatype: [BestExecution1Code](#) on page 3249

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

55.4.5.10.19 CumDividendIndicator <CumDvddInd>

Presence: [1..1]

Definition: Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

55.4.5.10.20 InterimProfitAmount <IntrmPrftAmt>

Presence: [0..1]

Definition: Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

InterimProfitAmount <IntrmPrftAmt> contains one of the following elements (see [ProfitAndLoss2Choice](#) on page 2856 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2, C10	2856
Or}	Loss <Loss>	[1..1]	Amount	C2, C10	2857

55.4.5.10.21 ForeignExchangeDetails <FXDtIs>

Presence: [0..*]

Definition: Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms33](#) on page 1983 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1983
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1984
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1985
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1985
	ExchangeRate <XchgRate>	[1..1]	Rate		1986
	QuotationDate <QtnDt>	[0..1]	DateTime		1986
	QuotingInstitution <QtgInstn>	[0..1]	±		1986

55.4.5.10.22 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: IncomePreference1Code on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.

CodeName	Name	Definition
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

55.4.5.10.23 LetterIntentReference <LtrInttRef>

Presence: [0..1]

Definition: Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer. A letter of intent program is mainly used in the US market.

Datatype: [Max35Text on page 3409](#)

55.4.5.10.24 AccumulationRightReference <AcmltnRghtRef>

Presence: [0..1]

Definition: Reference of an accumulation right program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

Datatype: [Max35Text on page 3409](#)

55.4.5.10.25 TransactionOverhead <TxOvrhd>

Presence: [0..1]

Definition: Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

Impacted by: [C18 NonStandardsSLAReferenceRule](#), [C34 TransactionOverheadElementRule](#)

TransactionOverhead <TxOvrhd> contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1249
	TotalFees <TtlFees>	[0..1]	Amount	C3, C10	1250
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C3, C10	1250
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1251
	IndividualFee <IndvFee>	[0..*]	±	C6	1251
	IndividualTax <IndvTax>	[0..*]	±		1253

Constraints

- **NonStandardsSLAReferenceRule**

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **TransactionOverheadElementRule**

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

55.4.5.10.25.1 TotalOverheadApplied <TtlOvrhdApld>

Presence: [0..1]

Definition: Total amount of overhead applied to the transaction that impacts the settlement amount.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007

- *Error Text:* Invalid currency code or too many decimal digits.

55.4.5.10.25.2 TotalFees <TtIFees>

Presence: [0..1]

Definition: Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

Impacted by: C3 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

55.4.5.10.25.3 TotalTaxes <TtITaxs>

Presence: [0..1]

Definition: Total amount of taxes applied to the transaction that impacts the settlement amount.

Impacted by: C3 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

55.4.5.10.25.4 CommercialAgreementReference <ComrcIAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

55.4.5.10.25.5 IndividualFee <IndvFee>

Presence: [0..*]

Definition: Individual fee (charge/commission).

Impacted by: C6 AppliedAmountRule

IndividualFee <IndvFee> contains the following elements (see [Fee2](#) on page 1775 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1776
{Or	Code <Cd>	[1..1]	CodeSet		1776
Or}	Proprietary <Prtry>	[1..1]	±		1777
	Basis <Bsis>	[0..1]			1777
{Or	Code <Cd>	[1..1]	CodeSet		1778
Or}	Proprietary <Prtry>	[1..1]	±		1778
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1778
	StandardRate <StdRate>	[0..1]	Rate		1779
	DiscountDetails <DscntDtls>	[0..1]		C14	1779
	Amount <Amt>	[0..1]	Amount	C2, C10	1780
	Rate <Rate>	[0..1]	Rate		1781
	Basis <Bsis>	[0..1]			1781
{Or	Code <Cd>	[1..1]	CodeSet		1781
Or}	Proprietary <Prtry>	[1..1]	±		1781
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1782
	AppliedRate <ApldRate>	[0..1]	Rate		1782
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1783
	RecipientIdentification <Rcptld>	[0..1]	±		1783
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1783

Constraints

• **AppliedAmountRule**

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00400

– *Error Text:* AppliedAmount must be present.

55.4.5.10.25.6 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Individual tax.

IndividualTax <IndvTax> contains the following elements (see Tax31 on page 3111 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3111
{Or	Code <Cd>	[1..1]	CodeSet		3111
Or}	Proprietary <Prtry>	[1..1]	±		3113
	AppliedAmount <ApldAmt>	[1..1]	Amount	C2, C10	3113
	AppliedRate <ApldRate>	[0..1]	Rate		3114
	Country <Ctry>	[0..1]	CodeSet	C11	3114
	RecipientIdentification <RcptId>	[0..1]	±		3114
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3115
	Basis <Bsis>	[0..1]			3115
{Or	Code <Cd>	[1..1]	CodeSet		3115
Or}	Proprietary <Prtry>	[1..1]	±		3115
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3116

55.4.5.10.26 InformativeTaxDetails <InftvTaxDtls>

Presence: [0..1]

Definition: Information about tax that does not have an impact on the transaction overhead.

Impacted by: C32 TaxElementRule

InformativeTaxDetails <InftvTaxDtls> contains the following elements (see [InformativeTax1 on page 3097](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	3099
	EUCapitalGain <EUCptlGn>	[0..1]			3099
{Or	Code <Cd>	[1..1]	CodeSet		3100
Or}	Proprietary <Prtry>	[1..1]	±		3100
	EUDividendStatus <EUDvddSts>	[0..1]			3100
{Or	Code <Cd>	[1..1]	CodeSet		3101
Or}	Proprietary <Prtry>	[1..1]	±		3101
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		3101
	IndividualTax <IndvTax>	[0..*]			3101
	Type <Tp>	[1..1]			3102
{Or	Code <Cd>	[1..1]	CodeSet		3102
Or}	Proprietary <Prtry>	[1..1]	±		3104
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	3104
	InformativeRate <InftvRate>	[0..1]	Rate		3105
	Country <Ctry>	[0..1]	CodeSet	C11	3105
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3105
	ExemptionReason <XmptnRsn>	[0..1]			3105
{Or	Code <Cd>	[1..1]	CodeSet		3106
Or}	Proprietary <Prtry>	[1..1]	±		3108
	RecipientIdentification <Rcptld>	[0..1]	±		3109
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3109
	Basis <Bsis>	[0..1]			3109
{Or	Code <Cd>	[1..1]	CodeSet		3110
Or}	Proprietary <Prtry>	[1..1]	±		3110
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3110

Constraints

- **TaxElementRule**
 (Rule)

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

55.4.5.10.27 SettlementAndCustodyDetails <SttlmAndCtdyDtIs>

Presence: [0..1]

Definition: Parameters used to execute the settlement of an investment fund order.

SettlementAndCustodyDetails <SttlmAndCtdyDtls> contains the following elements (see FundSettlementParameters12 on page 2919 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2921
	SettlementPlace <SttlmPlc>	[1..1]	±		2921
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2921
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2922
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2922
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2922
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2922
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2924
	AccountIdentification <AcctId>	[0..1]	Text		2924
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2925
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2926
	PartyIdentification <PtyId>	[1..1]	±		2926
	AccountIdentification <AcctId>	[0..1]	Text		2926
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2926
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2928
	AccountIdentification <AcctId>	[0..1]	Text		2928
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2929
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrAgDtls>	[1..1]			2930
	PartyIdentification <PtyId>	[1..1]	±		2930
	AccountIdentification <AcctId>	[0..1]	Text		2930

55.4.5.10.28 PhysicalDeliveryIndicator <PhysDlvryInd>

Presence: [1..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

55.4.5.10.29 PhysicalDeliveryDetails <PhysDlvryDtls>

Presence: [0..1]

Definition: Information related to the physical delivery of the securities.

PhysicalDeliveryDetails <PhysDlvryDtls> contains the following elements (see [DeliveryParameters3](#) on page 2826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2826
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2826

55.4.5.10.30 RequestedSettlementCurrency <ReqdSttlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: [C3 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode](#) on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

55.4.5.10.31 RequestedNAVCurrency <ReqdNAVCcy>

Presence: [0..1]

Definition: Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

Impacted by: C4 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

55.4.5.10.32 Refund <Rfnd>

Presence: [0..1]

Definition: Return of cash that has been overpaid for a subscription.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

55.4.5.10.33 SubscriptionInterest <SbcptIntrst>

Presence: [0..1]

Definition: Interest received when a subscription amount is paid in advance and then invested by the fund.

Impacted by: C3 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

55.4.5.10.34 CashSettlementDetails <CshSttlmDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

CashSettlementDetails <CshSttlmDtls> contains the following elements (see [PaymentTransaction70](#) on page 2759 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2761
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2763
	Type <Tp>	[1..1]	CodeSet		2763
	Number <Nb>	[1..1]	Text		2764
	HolderName <HldrNm>	[1..1]	Text		2764
	StartDate <StartDt>	[0..1]	YearMonth		2764
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2764
	CardIssuerName <CardIssrNm>	[0..1]	Text		2764
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2764
	SecurityCode <SctyCd>	[0..1]	Text		2765
	SequenceNumber <SeqNb>	[0..1]	Text		2765
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2765
	Reference <Ref>	[0..1]	Text		2765
	Debtor <Dbtr>	[0..1]	±		2765
	DebtorAccount <DbtrAcct>	[0..1]	±		2766
	DebtorAgent <DbtrAgt>	[0..1]	±		2766
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2766
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2766
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2767
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2767
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2767
	CreditorAgent <CdtrAgt>	[1..1]	±		2768
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2768
	Creditor <Cdtr>	[0..1]	±		2768
	CreditorAccount <CdtrAcct>	[1..1]	±		2768
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2769
Or	ChequeDetails <ChqDtls>	[1..1]			2769
	Number <Nb>	[0..1]	Text		2769
	PayeeIdentification <Pyeeld>	[1..1]	±		2770
	DraweeIdentification <Drweeld>	[0..1]	±		2770

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlD>	[0..1]	±		2770
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2770
	Number <Nb>	[0..1]	Text		2771
	PayeeIdentification <Pyeeld>	[1..1]	±		2771
	DraweeIdentification <Drweeld>	[0..1]	±		2771
	DrawerIdentification <DrwrlD>	[0..1]	±		2771
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2772
	AccountIdentification <AcctId>	[0..1]	Text		2772
	Type <Tp>	[0..1]	±		2772

55.4.5.10.35 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

Definition: Additional specific settlement information for non-regulated traded funds.

Datatype: [Max350Text](#) on page 3409

55.4.5.10.36 PartialSettlementOfUnits <PrtlSttlmOfUnits>

Presence: [0..1]

Definition: Percentage of units partially settled.

Datatype: [PercentageRate](#) on page 3406

55.4.5.10.37 PartialSettlementOfCash <PrtlSttlmOfCsh>

Presence: [0..1]

Definition: Percentage of cash partially settled.

Datatype: [PercentageRate](#) on page 3406

55.4.5.10.38 StaffClientBreakdown <StffClntBrkdw>

Presence: [0..4]

Definition: Breakdown of the net amount per type of order.

StaffClientBreakdown <StffClntBrkdw> contains the following elements (see [InvestmentFundsOrderBreakdown2](#) on page 2333 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwTp>	[1..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	Amount <Amt>	[1..1]	Amount	C2, C10	2335

55.4.5.10.39 FinancialAdvice <FinAdvc>

Presence: [0..1]

Definition: Specifies if advice has been received from an independent financial advisor.

Datatype: FinancialAdvice1Code on page 3281

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

55.4.5.10.40 NegotiatedTrade <NgtdTrad>

Presence: [0..1]

Definition: Specifies whether the trade is negotiated.

Datatype: NegotiatedTrade1Code on page 3316

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

55.4.5.10.41 LateReport <LateRpt>

Presence: [0..1]

Definition: Specifies whether the order execution confirmation is late.

Datatype: LateReport1Code on page 3313

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

55.4.5.10.42 RelatedPartyDetails <RltdPtyDtls>

Presence: [0..10]

Definition: Party related to the transaction.

Impacted by: C19 OrderOriginatorEligibility1Rule

RelatedPartyDetails <RltdPtyDtIs> contains the following elements (see [Intermediary39](#) on page 2623 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2623
	Account <Acct>	[0..1]			2624
	Identification <Id>	[1..1]	Text		2624
	AccountServicer <AcctSvcr>	[0..1]	±		2624
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2624
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		2625
	Role <Role>	[0..1]	±		2625

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

55.4.5.10.43 Equalisation <Equlstn>

Presence: [0..1]

Definition: Part of an investor's subscription amount that is held by the fund in order to pay incentive/performance fees at the end of the fiscal year.

Equalisation <Equlstn> contains the following elements (see [Equalisation1](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2319
	Rate <Rate>	[0..1]	Rate		2320

55.4.5.10.44 SourceOfCash <SrcOfCsh>

Presence: [0..*]

Definition: Source of cash used for the settlement of the subscription.

SourceOfCash <SrcOfCsh> contains one of the following elements (see [SourceOfCash1Choice](#) on page 2731 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2731
Or}	Proprietary <Prtry>	[1..1]	±		2731

55.4.5.10.45 CustomerConductClassification <CstmrCndctClssfctn>

Presence: [0..1]

Definition: Assessment of the customer's behaviour at the time of the account opening application.

CustomerConductClassification <CstmrCndctClssfctn> contains one of the following elements (see [CustomerConductClassification1Choice](#) on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2145
Or}	Proprietary <Prtry>	[1..1]	±		2146

55.4.5.10.46 TransactionChannelType <TxChanITp>

Presence: [0..1]

Definition: Means by which the investor or account owner submits the open account form.

TransactionChannelType <TxChanITp> contains one of the following elements (see [TransactionChannelType1Choice](#) on page 2455 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2455
Or}	Proprietary <Prtry>	[1..1]	±		2455

55.4.5.10.47 SignatureType <SgntrTp>

Presence: [0..1]

Definition: Type of signature.

SignatureType <SgntrTp> contains one of the following elements (see [SignatureType1Choice](#) on page 2385 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2385
Or}	Proprietary <Prtry>	[1..1]	±		2385

55.4.5.10.48 OrderWaiverDetails <OrdrWvrDtls>

Presence: [0..1]

Definition: Information about a non-standard order.

Impacted by: [C35 WaiverElementRule](#)

OrderWaiverDetails <OrdrWvrDtIs> contains the following elements (see [OrderWaiver1](#) on page 2318 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			2318
{Or	Code <Cd>	[1..1]	CodeSet		2318
Or}	Proprietary <Prtry>	[1..1]	±		2319
	InformationValue <InfVal>	[0..1]	Text		2319

Constraints

- **WaiverElementRule**

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

55.4.5.11 TotalSettlementAmount <TtlSttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

Impacted by: [C3 ActiveCurrency](#) __, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

55.4.5.12 BulkCashSettlementDetails <BlkCshSttlmDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

BulkCashSettlementDetails <BlkCshSttlmDtls> contains the following elements (see [PaymentTransaction70 on page 2759](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2761
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2763
	Type <Tp>	[1..1]	CodeSet		2763
	Number <Nb>	[1..1]	Text		2764
	HolderName <HldrNm>	[1..1]	Text		2764
	StartDate <StartDt>	[0..1]	YearMonth		2764
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2764
	CardIssuerName <CardIssrNm>	[0..1]	Text		2764
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2764
	SecurityCode <SctyCd>	[0..1]	Text		2765
	SequenceNumber <SeqNb>	[0..1]	Text		2765
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2765
	Reference <Ref>	[0..1]	Text		2765
	Debtor <Dbtr>	[0..1]	±		2765
	DebtorAccount <DbtrAcct>	[0..1]	±		2766
	DebtorAgent <DbtrAgt>	[0..1]	±		2766
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2766
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2766
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2767
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2767
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2767
	CreditorAgent <CdtrAgt>	[1..1]	±		2768
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2768
	Creditor <Cdtr>	[0..1]	±		2768
	CreditorAccount <CdtrAcct>	[1..1]	±		2768
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2769
Or	ChequeDetails <ChqDtls>	[1..1]			2769
	Number <Nb>	[0..1]	Text		2769
	PayeeIdentification <Pyeeld>	[1..1]	±		2770
	DraweeIdentification <Drweeld>	[0..1]	±		2770

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlD>	[0..1]	±		2770
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2770
	Number <Nb>	[0..1]	Text		2771
	PayeeIdentification <Pyeeld>	[1..1]	±		2771
	DraweeIdentification <Drweeld>	[0..1]	±		2771
	DrawerIdentification <DrwrlD>	[0..1]	±		2771
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2772
	AccountIdentification <AcctId>	[0..1]	Text		2772
	Type <Tp>	[0..1]	±		2772

55.4.6 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	2395

55.4.7 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C15 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

56 MX setr.013.001.04 SwitchOrderV04

56.1 MessageDefinition Functionality

Scope

The SwitchOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a switch transaction from a financial instrument or multiple financial instruments to a different specified financial instrument or instruments for a specified amount/quantity.

Usage

The SwitchOrder message is used to either:

- instruct one switch transaction comprising one or more redemption legs and one or more subscription legs, that is, a single switch transaction that can be a one to one, many to one, many to many or one to many switch transaction, or,
- instruct one or many switch transactions each comprising one redemption leg and one subscription leg, that is, multiple simple switch transactions.

The SwitchOrder message may be used to either:

- instruct a switch transaction for one investment account, or,
- instruct a switch transaction for separate accounts at the redemption and subscription leg levels.

The message caters for a switch from one financial instrument to another financial instrument (within the same fund family), many to one, many to many and one to many.

The message caters for switch transactions that result in an additional cash payment from the investor or a transaction that results in a net payment to the investor. Not all institutions or funds permit this type of switch and acceptance is therefore not automatic.

There is no limitation on the number of switch legs in a switch message. The number allowed is defined by the fund prospectus or by the service level agreement (SLA) in place between the two parties. However, if the SwitchOrderDetails sequence is present more than once, then the RedemptionLegDetails and SubscriptionLegDetails sequences may only be present once.

If SwitchOrderDetails\InvestmentAccount is used, then the InvestmentAccountDetails sequences in SubscriptionLegDetails and RedemptionLegDetails are not allowed. This functionality is to be used by institutions that set up two accounts per investor, rather than one investment account.

There is no switch driver type in the message to indicate whether the switch is buy or sell driven. A driver is not needed since it is possible to indicate the total subscription amount or the total redemption amount. Only one of these two amounts should be used.

The subscription quantity can be expressed in one of the following ways:

- Amount: the monetary value (either GROSS or NET) of the financial instrument to be subscribed to, for example, the subscription of EUR 1,000 of financial instrument ISIN LU1234567890 or

- Unit: the number of units of the financial instrument to be subscribed to, for example, the subscription of 10 units of financial instrument ISIN LU1234567890 or

- Percentage of the total redemption amount: when the switch transaction is redemption driven, it is the part of the redemption amount that must be switched to a specific financial instrument, for example, the subscription quantity of financial instrument ISIN LU1234567890 represents 50% of the redemption amount of the financial instrument ISIN LU4444444444.

The redemption quantity can be expressed in one of the following ways:

- Amount: the monetary value (either GROSS or NET) of the financial instrument to be redeemed, for example, the redemption of EUR 1,000 of financial instrument ISIN LU1234567890, or

- Unit: the number of units of financial instrument to be redeemed, for example, the redemption of 10 units of financial instrument ISIN LU1234567890, or

- Rate: the part of the portfolio to be redeemed, for example, the redemption of 10% of the holdings in financial instrument ISIN LU1234567890, or

- Percentage of the total subscription amount: when the switch transaction is subscription driven, it is the part of the subscription amount that must be the result of the redemption of a specific financial instrument, for example, the redemption quantity in financial instrument ABC represents 50% of the subscription amount of the financial instrument ISIN LU4444444444.

Outline

The SwitchOrderV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. MessagePagination

Pagination of the message.

E. SwitchOrderDetails

Information related to the switch order.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

56.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SwchOrd>	[1..1]		C19	
	MessageIdentification <MsgId>	[1..1]	±		1280
	PoolReference <PoolRef>	[0..1]	±		1280
	PreviousReference <PrvsRef>	[0..*]	±		1281
	MessagePagination <MsgPgntn>	[0..1]	±		1281
	SwitchOrderDetails <SwchOrdrDtls>	[1..*]		C15, C18, C22	1281
	MasterReference <MstrRef>	[0..1]	Text		1285
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		1285
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		1285
	OrderReference <OrdrRef>	[1..1]	Text		1285
	ClientReference <ClntRef>	[0..1]	Text		1285
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C21	1285
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C20	1286
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		1287
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C7	1287
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1288
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1288
	AdditionalAmount <AddtlAmt>	[0..1]	±		1288
	ExpiryDateTime <XpryDtTm>	[0..1]	±		1288
	CancellationRight <CxlRght>	[0..1]	±		1288
	RedemptionLegDetails <RedLegDtls>	[1..*]		C23, C25	1289
	LegIdentification <LegId>	[0..1]	Text		1291
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	1291
	FinancialInstrumentQuantityChoice <FinInstrmQtyChc>	[0..1]			1292
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1293
Or	PercentageOfTotalSubscriptionAmount <PctgOfTtlSbcptAmt>	[1..1]	Rate		1293
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C8	1293

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C8	1294
Or}	HoldingsRedemptionRate <HldgsRedRate>	[1..1]	Rate		1294
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C21	1294
	IncomePreference <IncmPref>	[0..1]	CodeSet		1295
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1295
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1296
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C3	1296
	TransactionOverhead <TxOvrhd>	[0..1]		C14	1296
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1297
	IndividualFee <IndvFee>	[0..*]	±	C13, C30, C31	1297
	IndividualTax <IndvTax>	[0..*]	±		1299
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1300
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1302
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1302
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1302
	Equalisation <Equlstr>	[0..1]	±		1302
	SubscriptionLegDetails <SbcptLegDtls>	[1..*]		C24, C26	1303
	LegIdentification <LegId>	[0..1]	Text		1304
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	1304
	FinancialInstrumentQuantityChoice <FinInstrmQtyChc>	[0..1]			1305
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1305
Or	PercentageOfTotalRedemptionAmount <PctgOfTtlRedAmt>	[1..1]	Rate		1306
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C8	1306
Or}	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C8	1306
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C21	1307
	IncomePreference <IncmPref>	[0..1]	CodeSet		1308
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1308
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C3	1309
	TransactionOverhead <TxOvrhd>	[0..1]		C14	1309

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1310
	IndividualFee <IndvFee>	[0..*]	±	C13, C30, C31	1310
	IndividualTax <IndvTax>	[0..*]	±		1312
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1313
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1315
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1315
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1315
	Equalisation <Equlstn>	[0..1]	±		1315
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1316
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1319
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1320
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1320
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1320
	TransactionChannelType <TxChanlTp>	[0..1]	±		1320
	SignatureType <SgntrTp>	[0..1]	±		1321
	OrderWaiverDetails <OrdWrDtls>	[0..1]	±	C32	1321
	CopyDetails <CpyDtls>	[0..1]	±		1322
	Extension <Xtnsn>	[0..*]	±	C12	1322

56.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountElementRule

(Rule)

Either AccountIdentification or Type must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C2 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C3 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C4 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C5 BICFI

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C6 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C7 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C8 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C9 DeliverersCustodianRule

(Rule)

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00394
- *Error Text:* DeliverersCustodianDetails must be present.

C10 DeliverersIntermediary1DetailsRule

(Rule)

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00395
- *Error Text:* DeliverersIntermediary1Details must be present.

C11 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C12 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C13 FeeElementRule

(Rule)

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C14 FeeTaxElementRule

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C15 FinancialInstrumentQuantity1Rule

(Rule)

If SubscriptionLegDetails/FinancialInstrumentQuantityChoice is not present, then RedemptionLegDetails/FinancialInstrumentQuantityChoice is mandatory in each occurrence of RedemptionLegDetails.

If SubscriptionLegDetails/FinancialInstrumentQuantityChoice is present, then it must be present in each occurrence of SubscriptionLegDetails.

C16 IBAN

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C17 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C18 InvestmentAccountDetailsRule

(Rule)

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

C19 MultipleSwitchOrderRule

(Rule)

If SwitchOrderDetails is present more than once, then SwitchOrderDetails/RedemptionLegDetails and SwitchOrderDetails/SubscriptionLegDetails must only be present once.

This constraint is defined at the MessageDefinition level.

C20 OrderOriginatorEligibility1Rule

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*

– *Error Text:*

C21 OrderOriginatorEligibility2Rule

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

C22 OrderOriginatorEligibility3Rule

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of RedemptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of SubscriptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility should be only present.

C23 PhysicalDeliveryDetails1Rule

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

C24 PhysicalDeliveryDetails1Rule

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

C25 PhysicalDeliveryDetails2Rule

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

C26 PhysicalDeliveryDetails2Rule

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

C27 ReceiversCustodianRule

(Rule)

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00392
- *Error Text:* ReceiversCustodianDetails must be present.

C28 ReceiversIntermediary1DetailsRule

(Rule)

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00393
- *Error Text:* ReceiversIntermediary1Details must be present.

C29 SeriesElementRule

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C30 StandardFeeAmountCalculation

(Rule)

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C31 StandardFeeRateCalculation

(Rule)

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C32 WaiverElementRule

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

56.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

56.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

56.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

56.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

56.4.4 MessagePagination <MsgPgntn>

Presence: [0..1]

Definition: Pagination of the message.

MessagePagination <MsgPgntn> contains the following elements (see [Pagination](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

56.4.5 SwitchOrderDetails <SwchOrdrDtls>

Presence: [1..*]

Definition: Information related to the switch order.

Impacted by: [C15 FinancialInstrumentQuantity1Rule](#), [C18 InvestmentAccountDetailsRule](#), [C22 OrderOriginatorEligibility3Rule](#)

SwitchOrderDetails <SwchOrdrDtls> contains the following **SwitchOrder7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		1285
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		1285
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		1285
	OrderReference <OrdrRef>	[1..1]	Text		1285
	ClientReference <ClntRef>	[0..1]	Text		1285
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C21	1285
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C20	1286
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		1287
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C7	1287
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1288
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1288
	AdditionalAmount <AddtlAmt>	[0..1]	±		1288
	ExpiryDateTime <XpryDtTm>	[0..1]	±		1288
	CancellationRight <CxlRght>	[0..1]	±		1288
	RedemptionLegDetails <RedLegDtls>	[1..*]		C23, C25	1289
	LegIdentification <LegId>	[0..1]	Text		1291
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	1291
	FinancialInstrumentQuantityChoice <FinInstrmQtyChc>	[0..1]			1292
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1293
Or	PercentageOfTotalSubscriptionAmount <PctgOfTtlSbcptAmt>	[1..1]	Rate		1293
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C8	1293
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C8	1294
Or}	HoldingsRedemptionRate <HldgsRedRate>	[1..1]	Rate		1294
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C21	1294
	IncomePreference <IncmPref>	[0..1]	CodeSet		1295
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1295
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1296
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C3	1296

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransactionOverhead <TxOvrhd>	[0..1]		C14	1296
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1297
	IndividualFee <IndvFee>	[0..*]	±	C13, C30, C31	1297
	IndividualTax <IndvTax>	[0..*]	±		1299
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1300
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1302
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1302
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1302
	Equalisation <Equlstn>	[0..1]	±		1302
	SubscriptionLegDetails <SbcptLegDtls>	[1..*]		C24, C26	1303
	LegIdentification <LegId>	[0..1]	Text		1304
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	1304
	FinancialInstrumentQuantityChoice <FinInstrmQtyChc>	[0..1]			1305
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1305
Or	PercentageOfTotalRedemptionAmount <PctgOfTtlRedAmt>	[1..1]	Rate		1306
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C8	1306
Or}	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C8	1306
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C21	1307
	IncomePreference <IncmPref>	[0..1]	CodeSet		1308
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1308
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C3	1309
	TransactionOverhead <TxOvrhd>	[0..1]		C14	1309
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1310
	IndividualFee <IndvFee>	[0..*]	±	C13, C30, C31	1310
	IndividualTax <IndvTax>	[0..*]	±		1312
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1313

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1315
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1315
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1315
	Equalisation <Equlstn>	[0..1]	±		1315
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1316
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1319
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1320
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1320
	CustomerConductClassification <CstmrCndctClsfctn>	[0..1]	±		1320
	TransactionChannelType <TxChanlTp>	[0..1]	±		1320
	SignatureType <SgntrTp>	[0..1]	±		1321
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±	C32	1321

Constraints

- **FinancialInstrumentQuantity1Rule**

(Rule)

If SubscriptionLegDetails/FinancialInstrumentQuantityChoice is not present, then RedemptionLegDetails/FinancialInstrumentQuantityChoice is mandatory in each occurrence of RedemptionLegDetails.

If SubscriptionLegDetails/FinancialInstrumentQuantityChoice is present, then it must be present in each occurrence of SubscriptionLegDetails.

- **InvestmentAccountDetailsRule**

(Rule)

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

- **OrderOriginatorEligibility3Rule**

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of RedemptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of SubscriptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility should be only present.

56.4.5.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text on page 3409](#)

56.4.5.2 OrderDateTime <OrdrDtTm>

Presence: [0..1]

Definition: Date and time the order is placed by the investor or its agent.

Datatype: [ISODatetime on page 3391](#)

56.4.5.3 PlaceOfTrade <PlcOfTrad>

Presence: [0..1]

Definition: Market in which the advised trade transaction was executed.

PlaceOfTrade <PlcOfTrad> contains one of the following elements (see [PlaceOfTradeIdentification1Choice on page 2350](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	2350
Or	Exchange <Xchg>	[1..1]	IdentifierSet		2351
Or	Party <Pty>	[1..1]	IdentifierSet	C7	2351
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		2351

56.4.5.4 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

56.4.5.5 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

56.4.5.6 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account impacted by the investment fund order.

Impacted by: [C21 OrderOriginatorEligibility2Rule](#)

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58](#) on page 2149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

56.4.5.7 RelatedPartyDetails <RltdPtyDtls>

Presence: [0..10]

Definition: Party related to the transaction.

Impacted by: [C20 OrderOriginatorEligibility1Rule](#)

RelatedPartyDetails <RltdPtyDtls> contains the following elements (see [Intermediary40](#) on page 2626 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2626
	Account <Acct>	[0..1]			2627
	Identification <Id>	[1..1]	Text		2627
	AccountServicer <AcctSvcr>	[0..1]	±		2627
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2627
	Role <Role>	[0..1]	±		2628

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

56.4.5.8 RequestedFutureTradeDate <ReqdFutrTradDt>

Presence: [0..1]

Definition: Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

Datatype: ISODate on page 3391

56.4.5.9 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

Impacted by: C2 ActiveCurrency ____, C7 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

56.4.5.10 CashSettlementDate <CshStlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: [ISODate](#) on page 3391

56.4.5.11 SettlementMethod <StlmMtd>

Presence: [0..1]

Definition: Method by which the transaction is settled.

Datatype: [DeliveryReceiptType2Code](#) on page 3270

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

56.4.5.12 AdditionalAmount <AddtIAmt>

Presence: [0..1]

Definition: Choice between additional cash in or resulting cash out.

AdditionalAmount <AddtIAmt> contains one of the following elements (see [AdditionalAmount1Choice](#) on page 2320 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AdditionalCashIn <AddtICshIn>	[1..1]	Amount	C3, C12	2320
Or}	ResultingCashOut <RsltgCshOut>	[1..1]	Amount	C3, C12	2321

56.4.5.13 ExpiryDateTime <XpryDtTm>

Presence: [0..1]

Definition: Date on which the order expires.

ExpiryDateTime <XpryDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

56.4.5.14 CancellationRight <CxIRght>

Presence: [0..1]

Definition: Cancellation right of the investor with respect to the investment fund order.

CancellationRight <CxlRght> contains one of the following elements (see [CancellationRight1Choice](#) on page 2386 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2386
Or}	Proprietary <Prtry>	[1..1]	±		2386

56.4.5.15 RedemptionLegDetails <RedLegDtls>

Presence: [1..*]

Definition: Part of the investment fund switch order that is a redemption.

Impacted by: [C23 PhysicalDeliveryDetails1Rule](#) , [C25 PhysicalDeliveryDetails2Rule](#)

RedemptionLegDetails <RedLegDtls> contains the following **SwitchRedemptionLegOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LegIdentification <LegId>	[0..1]	Text		1291
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	1291
	FinancialInstrumentQuantityChoice <FinInstrmQtyChc>	[0..1]			1292
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1293
Or	PercentageOfTotalSubscriptionAmount <PctgOfTtlSbcptAmt>	[1..1]	Rate		1293
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C8	1293
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C8	1294
Or}	HoldingsRedemptionRate <HldgsRedRate>	[1..1]	Rate		1294
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C21	1294
	IncomePreference <IncmPref>	[0..1]	CodeSet		1295
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1295
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1296
	RequestedNAVCurrency <ReqdNAVVCcy>	[0..1]	CodeSet	C3	1296
	TransactionOverhead <TxOvrhd>	[0..1]		C14	1296
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1297
	IndividualFee <IndvFee>	[0..*]	±	C13, C30, C31	1297
	IndividualTax <IndvTax>	[0..*]	±		1299
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1300
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1302
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1302
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1302
	Equalisation <Equlstrn>	[0..1]	±		1302

Constraints

- **PhysicalDeliveryDetails1Rule**

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True
/PhysicalDeliveryDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

• **PhysicalDeliveryDetails2Rule**

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'
Or /PhysicalDeliveryIndicator is equal to value '1'
Following Must be True
/PhysicalDeliveryDetails Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

56.4.5.15.1 LegIdentification <LegId>

Presence: [0..1]

Definition: Unique technical identifier for the instance of the leg within a switch.

Datatype: Max35Text on page 3409

56.4.5.15.2 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class related to the redemption leg of the order.

Impacted by: C17 IdentificationGuideline

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57 on page 1894](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

56.4.5.15.3 FinancialInstrumentQuantityChoice <FinInstrmQtyChc>

Presence: [0..1]

Definition: Amount of money, number of units or percentage for the subscription leg of the switch order.

FinancialInstrumentQuantityChoice <FinInstrmQtyChc> contains one of the following **FinancialInstrumentQuantity29Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1293
Or	PercentageOfTotalSubscriptionAmount <PctgOfTtlSbcptAmt>	[1..1]	Rate		1293
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C8	1293
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C8	1294
Or}	HoldingsRedemptionRate <HldgsRedRate>	[1..1]	Rate		1294

56.4.5.15.3.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Number of investment fund units redeemed.

Datatype: DecimalNumber on page 3405

56.4.5.15.3.2 PercentageOfTotalSubscriptionAmount <PctgOfTtlSbcptAmt>

Presence: [1..1]

Definition: Percentage of the total switch amount (buy-driven) to be invested in a particular investment fund or investment fund class.

Datatype: PercentageRate on page 3406

56.4.5.15.3.3 NetAmount <NetAmt>

Presence: [1..1]

Definition: Amount of money to be received following redemption of fund units.

Net Amount = (Quantity * Price) - (Fees + Taxes).

Impacted by: C3 ActiveOrHistoricCurrency , C8 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

56.4.5.15.3.4 GrossAmount <GrssAmt>

Presence: [1..1]

Definition: Amount of money to be redeemed from the fund.

Gross Amount = Quantity * Price.

Impacted by: C3 ActiveOrHistoricCurrency __, C8 CurrencyAmount __

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

56.4.5.15.3.5 HoldingsRedemptionRate <HldgsRedRate>

Presence: [1..1]

Definition: Portion of the investor's holdings to be redeemed.

Datatype: PercentageRate on page 3406

56.4.5.15.4 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account impacted by the investment fund order.

Impacted by: C21 OrderOriginatorEligibility2Rule

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58 on page 2149](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

56.4.5.15.5 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: IncomePreference1Code on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

56.4.5.15.6 Group1Or2Units <Grp1Or2Units>

Presence: [0..1]

Definition: Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

Datatype: UKTaxGroupUnit1Code on page 3390

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

56.4.5.15.7 RequestedSettlementCurrency <ReqdSttlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

56.4.5.15.8 RequestedNAVCurrency <ReqdNAVCcy>

Presence: [0..1]

Definition: Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

56.4.5.15.9 TransactionOverhead <TxOvrhd>

Presence: [0..1]

Definition: Fees (charges/commission) and tax to be applied to the gross amount.

Impacted by: C14 FeeTaxElementRule

TransactionOverhead <TxOvrhd> contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1297
	IndividualFee <IndvFee>	[0..*]	±	C13, C30, C31	1297
	IndividualTax <IndvTax>	[0..*]	±		1299

Constraints

- **FeeTaxElementRule**

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

56.4.5.15.9.1 CommercialAgreementReference <ComrcIAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

56.4.5.15.9.2 IndividualFee <IndvFee>

Presence: [0..*]

Definition: Individual fee (charge/commission).

Impacted by: C13 FeeElementRule, C30 StandardFeeAmountCalculation, C31 StandardFeeRateCalculation

IndividualFee <IndvFee> contains the following elements (see [Fee1](#) on page 1783 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1785
{Or	Code <Cd>	[1..1]	CodeSet		1785
Or}	Proprietary <Prtry>	[1..1]	±		1786
	Basis <Bsis>	[0..1]			1786
{Or	Code <Cd>	[1..1]	CodeSet		1787
Or}	Proprietary <Prtry>	[1..1]	±		1787
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1787
	StandardRate <StdRate>	[0..1]	Rate		1788
	DiscountDetails <DscntDtls>	[0..1]		C14	1788
	Amount <Amt>	[0..1]	Amount	C2, C10	1789
	Rate <Rate>	[0..1]	Rate		1790
	Basis <Bsis>	[0..1]			1790
{Or	Code <Cd>	[1..1]	CodeSet		1790
Or}	Proprietary <Prtry>	[1..1]	±		1791
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C2, C10	1791
	RequestedRate <ReqdRate>	[0..1]	Rate		1792
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1792
	RecipientIdentification <RcptId>	[0..1]	±		1792

Constraints

- **FeeElementRule**

(Rule)

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

- **StandardFeeAmountCalculation**

(Rule)

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **StandardFeeRateCalculation**

(Rule)

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

56.4.5.15.9.3 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Individual tax amount.

IndividualTax <IndvTax> contains the following elements (see [Tax30](#) on page 3116 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3117
{Or	Code <Cd>	[1..1]	CodeSet		3117
Or}	Proprietary <Prtry>	[1..1]	±		3119
	Tax <Tax>	[0..1]			3119
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	3119
Or}	Rate <Rate>	[1..1]	Rate		3120
	Country <Ctry>	[0..1]	CodeSet	C11	3120
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3120
	ExemptionReason <XmptnRsn>	[0..1]			3121
{Or	Code <Cd>	[1..1]	CodeSet		3121
Or}	Proprietary <Prtry>	[1..1]	±		3124
	RecipientIdentification <Rcptld>	[0..1]	±		3124
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3124
	Basis <Bsis>	[1..1]			3125
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3125

56.4.5.15.10 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

Presence: [0..1]

Definition: Parameters used to execute the settlement of an investment fund order.

SettlementAndCustodyDetails <SttlmAndCtdyDtls> contains the following elements (see FundSettlementParameters12 on page 2919 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2921
	SettlementPlace <SttlmPlc>	[1..1]	±		2921
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2921
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2922
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2922
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2922
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2922
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2924
	AccountIdentification <AcctId>	[0..1]	Text		2924
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2925
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2926
	PartyIdentification <PtyId>	[1..1]	±		2926
	AccountIdentification <AcctId>	[0..1]	Text		2926
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2926
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2928
	AccountIdentification <AcctId>	[0..1]	Text		2928
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2929
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrAgtDtls>	[1..1]			2930
	PartyIdentification <PtyId>	[1..1]	±		2930
	AccountIdentification <AcctId>	[0..1]	Text		2930

56.4.5.15.11 PhysicalDeliveryIndicator <PhysDlvryInd>

Presence: [1..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

56.4.5.15.12 PhysicalDeliveryDetails <PhysDlvryDtls>

Presence: [0..1]

Definition: Information related to the physical delivery of the securities.

PhysicalDeliveryDetails <PhysDlvryDtls> contains the following elements (see [DeliveryParameters3](#) on page 2826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2826
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2826

56.4.5.15.13 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

Definition: Additional specific settlement information for non-regulated traded funds.

Datatype: [Max350Text](#) on page 3409

56.4.5.15.14 Equalisation <Equlstn>

Presence: [0..1]

Definition: Part of an investor's retained subscription amount that is returned by the fund in order to reimburse preliminary incentive/performance fees.

Equalisation <Equlstn> contains the following elements (see [Equalisation1](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2319
	Rate <Rate>	[0..1]	Rate		2320

56.4.5.16 SubscriptionLegDetails <SbcptLegDtls>

Presence: [1..*]

Definition: Part of the investment fund switch order that is a subscription.

Impacted by: C24 PhysicalDeliveryDetails1Rule , C26 PhysicalDeliveryDetails2Rule

SubscriptionLegDetails <SbcptLegDtls> contains the following **SwitchSubscriptionLegOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LegIdentification <LegId>	[0..1]	Text		1304
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	1304
	FinancialInstrumentQuantityChoice <FinInstrmQtyChc>	[0..1]			1305
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1305
Or	PercentageOfTotalRedemptionAmount <PctgOfTtlRedAmt>	[1..1]	Rate		1306
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C8	1306
Or}	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C8	1306
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C21	1307
	IncomePreference <IncmPref>	[0..1]	CodeSet		1308
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1308
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C3	1309
	TransactionOverhead <TxOvrhd>	[0..1]		C14	1309
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1310
	IndividualFee <IndvFee>	[0..*]	±	C13, C30, C31	1310
	IndividualTax <IndvTax>	[0..*]	±		1312
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1313
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1315
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1315
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1315
	Equalisation <Equlstr>	[0..1]	±		1315

Constraints

- **PhysicalDeliveryDetails1Rule**

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

```
On Condition
  /PhysicalDeliveryIndicator is equal to value 'false'
Or   /PhysicalDeliveryIndicator is equal to value '0'
Following Must be True
  /PhysicalDeliveryDetails Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

• **PhysicalDeliveryDetails2Rule**

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

```
On Condition
  /PhysicalDeliveryIndicator is equal to value 'true'
Or   /PhysicalDeliveryIndicator is equal to value '1'
Following Must be True
  /PhysicalDeliveryDetails Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

56.4.5.16.1 LegIdentiication <LegId>

Presence: [0..1]

Definition: Unique technical identifier for the instance of the leg within a switch.

Datatype: [Max35Text on page 3409](#)

56.4.5.16.2 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class related to the subscription leg of the order.

Impacted by: [C17 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57](#) on page 1894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

56.4.5.16.3 FinancialInstrumentQuantityChoice <FinInstrmQtyChc>

Presence: [0..1]

Definition: Amount of money, number of units or percentage for the redemption leg of the switch order.

FinancialInstrumentQuantityChoice <FinInstrmQtyChc> contains one of the following **FinancialInstrumentQuantity26Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	Quantity		1305
Or	PercentageOfTotalRedemptionAmount <PctgOfTtlRedAmt>	[1..1]	Rate		1306
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C8	1306
Or}	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C8	1306

56.4.5.16.3.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Number of investment fund units to be subscribed.

Datatype: DecimalNumber on page 3405

56.4.5.16.3.2 PercentageOfTotalRedemptionAmount <PctgOfTtlRedAmt>

Presence: [1..1]

Definition: Percentage of the total redemption amount used for the subscription in an investment fund or investment fund class.

Datatype: PercentageRate on page 3406

56.4.5.16.3.3 NetAmount <NetAmt>

Presence: [1..1]

Definition: Amount of money to be invested in the fund.

Net Amount = Quantity * Price.

Impacted by: C3 ActiveOrHistoricCurrency __, C8 CurrencyAmount __

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

56.4.5.16.3.4 GrossAmount <GrssAmt>

Presence: [1..1]

Definition: Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity * Price) + (Fees + Taxes).

Impacted by: C3 ActiveOrHistoricCurrency , C8 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

56.4.5.16.4 InvestmentAccountDetails <InvstmtAcctDtIs>

Presence: [0..1]

Definition: Account impacted by the investment fund order.

Impacted by: C21 OrderOriginatorEligibility2Rule

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see InvestmentAccount58 on page 2149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

56.4.5.16.5 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: IncomePreference1Code on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

56.4.5.16.6 RequestedSettlementCurrency <ReqdSttlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

56.4.5.16.7 RequestedNAVCurrency <ReqdNAVCcy>

Presence: [0..1]

Definition: Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

56.4.5.16.8 TransactionOverhead <TxOvrhd>

Presence: [0..1]

Definition: Fees (charges/commission) and tax to be applied to the net amount.

Impacted by: C14 FeeTaxElementRule

TransactionOverhead <TxOvrhd> contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1310
	IndividualFee <IndvFee>	[0..*]	±	C13, C30, C31	1310
	IndividualTax <IndvTax>	[0..*]	±		1312

Constraints

- **FeeTaxElementRule**

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

56.4.5.16.8.1 CommercialAgreementReference <ComrcIAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

56.4.5.16.8.2 IndividualFee <IndvFee>

Presence: [0..*]

Definition: Individual fee (charge/commission).

Impacted by: C13 FeeElementRule, C30 StandardFeeAmountCalculation, C31 StandardFeeRateCalculation

IndividualFee <IndvFee> contains the following elements (see [Fee1](#) on page 1783 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1785
{Or	Code <Cd>	[1..1]	CodeSet		1785
Or}	Proprietary <Prtry>	[1..1]	±		1786
	Basis <Bsis>	[0..1]			1786
{Or	Code <Cd>	[1..1]	CodeSet		1787
Or}	Proprietary <Prtry>	[1..1]	±		1787
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1787
	StandardRate <StdRate>	[0..1]	Rate		1788
	DiscountDetails <DscntDtls>	[0..1]		C14	1788
	Amount <Amt>	[0..1]	Amount	C2, C10	1789
	Rate <Rate>	[0..1]	Rate		1790
	Basis <Bsis>	[0..1]			1790
{Or	Code <Cd>	[1..1]	CodeSet		1790
Or}	Proprietary <Prtry>	[1..1]	±		1791
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C2, C10	1791
	RequestedRate <ReqdRate>	[0..1]	Rate		1792
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1792
	RecipientIdentification <RcptId>	[0..1]	±		1792

Constraints

- **FeeElementRule**

(Rule)

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

- **StandardFeeAmountCalculation**

(Rule)

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **StandardFeeRateCalculation**

(Rule)

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

56.4.5.16.8.3 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Individual tax amount.

IndividualTax <IndvTax> contains the following elements (see [Tax30](#) on page 3116 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3117
{Or	Code <Cd>	[1..1]	CodeSet		3117
Or}	Proprietary <Prtry>	[1..1]	±		3119
	Tax <Tax>	[0..1]			3119
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	3119
Or}	Rate <Rate>	[1..1]	Rate		3120
	Country <Ctry>	[0..1]	CodeSet	C11	3120
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3120
	ExemptionReason <XmptnRsn>	[0..1]			3121
{Or	Code <Cd>	[1..1]	CodeSet		3121
Or}	Proprietary <Prtry>	[1..1]	±		3124
	RecipientIdentification <Rcptld>	[0..1]	±		3124
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3124
	Basis <Bsis>	[1..1]			3125
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3125

56.4.5.16.9 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

Presence: [0..1]

Definition: Parameters used to execute the settlement of an investment fund order.

SettlementAndCustodyDetails <SttlmAndCtdyDtls> contains the following elements (see FundSettlementParameters11 on page 2930 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2932
	SettlementPlace <SttlmPlc>	[1..1]	±		2932
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2932
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2933
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2933
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2933
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2933
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2935
	PartyIdentification <PtyId>	[1..1]	±		2935
	AccountIdentification <AcctId>	[0..1]	Text		2935
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2935
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2936
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2937
	PartyIdentification <PtyId>	[1..1]	±		2937
	AccountIdentification <AcctId>	[0..1]	Text		2937
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2937
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2939
	PartyIdentification <PtyId>	[1..1]	±		2939
	AccountIdentification <AcctId>	[0..1]	Text		2939
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2939
	PartyIdentification <PtyId>	[1..1]	±		2940
	AccountIdentification <AcctId>	[0..1]	Text		2940
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2940
	PartyIdentification <PtyId>	[1..1]	±		2940
	AccountIdentification <AcctId>	[0..1]	Text		2940

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrAgtDtls>	[1..1]			2941
	PartyIdentification <PtyId>	[1..1]	±		2941
	AccountIdentification <AcctId>	[0..1]	Text		2941

56.4.5.16.10 PhysicalDeliveryIndicator <PhysDlvryInd>

Presence: [1..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

56.4.5.16.11 PhysicalDeliveryDetails <PhysDlvryDtls>

Presence: [0..1]

Definition: Information related to the physical delivery of the securities.

PhysicalDeliveryDetails <PhysDlvryDtls> contains the following elements (see [NameAndAddress4](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2832
	Address <Adr>	[1..1]	±		2833

56.4.5.16.12 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

Definition: Additional specific settlement information for non-regulated traded funds.

Datatype: [Max350Text](#) on page 3409

56.4.5.16.13 Equalisation <Equalstn>

Presence: [0..1]

Definition: Part of an investor's subscription amount that is held by the fund in order to pay incentive/performance fees at the end of the fiscal year.

Equalisation <Equalstn> contains the following elements (see [Equalisation1](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2319
	Rate <Rate>	[0..1]	Rate		2320

56.4.5.17 CashSettlementDetails <CshSttlmDtIs>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

CashSettlementDetails <CshSttlmDtls> contains the following elements (see [PaymentTransaction71](#) on page 2732 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashInOrOut <CshInOrOut>	[1..1]			2735
{Or	CashInPaymentInstrument <CshInPmtInstrm>	[1..1]			2738
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2740
	Type <Tp>	[1..1]	CodeSet		2740
	Number <Nb>	[1..1]	Text		2741
	HolderName <HldrNm>	[1..1]	Text		2741
	StartDate <StartDt>	[0..1]	YearMonth		2741
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2741
	CardIssuerName <CardIssrNm>	[0..1]	Text		2741
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2741
	SecurityCode <SctyCd>	[0..1]	Text		2742
	SequenceNumber <SeqNb>	[0..1]	Text		2742
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2742
	Reference <Ref>	[0..1]	Text		2742
	Debtor <Dbtr>	[0..1]	±		2742
	DebtorAccount <DbtrAcct>	[0..1]	±		2743
	DebtorAgent <DbtrAgt>	[0..1]	±		2743
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2743
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2743
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2744
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2744
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2744
	CreditorAgent <CdtrAgt>	[1..1]	±		2745
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2745
	Creditor <Cdtr>	[0..1]	±		2745
	CreditorAccount <CdtrAcct>	[1..1]	±		2745
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2746
Or	ChequeDetails <ChqDtls>	[1..1]			2746
	Number <Nb>	[0..1]	Text		2746
	PayeeIdentification <Pyeeld>	[1..1]	±		2747

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Draweeldentification <Drweeld>	[0..1]	±		2747
	Drawerldentification <Drwrlld>	[0..1]	±		2747
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2747
	Number <Nb>	[0..1]	Text		2748
	Payeeldentification <Pyeeld>	[1..1]	±		2748
	Draweeldentification <Drweeld>	[0..1]	±		2748
	Drawerldentification <Drwrlld>	[0..1]	±		2748
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2749
	Accountldentification <Acctld>	[0..1]	Text		2749
	Type <Tp>	[0..1]	±		2749
Or}	CashOutPaymentInstrument <CshOutPmtInstrm>	[1..1]			2750
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2751
	Reference <Ref>	[0..1]	Text		2752
	Debtor <Dbtr>	[0..1]	±		2752
	DebtorAccount <DbtrAcct>	[0..1]	±		2752
	DebtorAgent <DbtrAgt>	[0..1]	±		2753
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2753
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2753
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2753
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2754
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2754
	CreditorAgent <CdtrAgt>	[1..1]	±		2754
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2754
	Creditor <Cdtr>	[0..1]	±		2755
	CreditorAccount <CdtrAcct>	[1..1]	±		2755
Or	ChequeDetails <ChqDtls>	[1..1]			2755
	Number <Nb>	[0..1]	Text		2756
	Payeeldentification <Pyeeld>	[1..1]	±		2756
	Draweeldentification <Drweeld>	[0..1]	±		2756
	Drawerldentification <Drwrlld>	[0..1]	±		2756
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2757

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2757
	PayeeIdentification <Pyeeld>	[1..1]	±		2757
	DraweeIdentification <Drweeld>	[0..1]	±		2757
	DrawerIdentification <Drwrlid>	[0..1]	±		2758
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2758
	AccountIdentification <Acctld>	[0..1]	Text		2758
	Type <Tp>	[0..1]	±		2759

56.4.5.18 ForeignExchangeDetails <FXDtls>

Presence: [0..1]

Definition: Information needed to process a currency exchange or conversion.

Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

ForeignExchangeDetails <FXDtls> contains the following elements (see [ForeignExchangeTerms32](#) on page 1986 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1987
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1987
	ExchangeRate <XchgRate>	[1..1]	Rate		1988
	QuotationDate <QtnDt>	[0..1]	DateTime		1988
	QuotingInstitution <QtgInstn>	[0..1]	±		1988

56.4.5.19 FinancialAdvice <FinAdvc>

Presence: [0..1]

Definition: Specifies if advice has been received from an independent financial advisor.

Datatype: [FinancialAdvice1Code on page 3281](#)

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

56.4.5.20 NegotiatedTrade <NgtdTrad>

Presence: [0..1]

Definition: Specifies whether the trade is negotiated.

Datatype: [NegotiatedTrade1Code on page 3316](#)

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

56.4.5.21 CustomerConductClassification <CstmrCndctClssfctn>

Presence: [0..1]

Definition: Assessment of the customer's behaviour at the time of the account opening application.

CustomerConductClassification <CstmrCndctClssfctn> contains one of the following elements (see [CustomerConductClassification1Choice on page 2145](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2145
Or}	Proprietary <Prtry>	[1..1]	±		2146

56.4.5.22 TransactionChannelType <TxChanlTp>

Presence: [0..1]

Definition: Means by which the investor or account owner submits the open account form.

TransactionChannelType <TxChanITp> contains one of the following elements (see [TransactionChannelType1Choice](#) on page 2455 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2455
Or}	Proprietary <Prtry>	[1..1]	±		2455

56.4.5.23 SignatureType <SgntrTp>

Presence: [0..1]

Definition: Type of signature.

SignatureType <SgntrTp> contains one of the following elements (see [SignatureType1Choice](#) on page 2385 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2385
Or}	Proprietary <Prtry>	[1..1]	±		2385

56.4.5.24 OrderWaiverDetails <OrdWvrDtIs>

Presence: [0..1]

Definition: Information about a non-standard order.

Impacted by: [C32 WaiverElementRule](#)

OrderWaiverDetails <OrdWvrDtIs> contains the following elements (see [OrderWaiver1](#) on page 2318 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			2318
{Or	Code <Cd>	[1..1]	CodeSet		2318
Or}	Proprietary <Prtry>	[1..1]	±		2319
	InformationValue <InfVal>	[0..1]	Text		2319

Constraints

- **WaiverElementRule**

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

56.4.6 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	2395

56.4.7 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C12 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

57 MX setr.014.001.04 SwitchOrderCancellationRequestV04

57.1 MessageDefinition Functionality

Scope

The SwitchOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SwitchOrder instruction.

Usage

The SwitchOrderCancellationRequest is used to cancel the entire previously sent SwitchOrder instruction/s and all the individual legs that it contains. There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of a switch order, the order reference of the original switch order is quoted in the order reference element. The message identification of the SwitchOrder message may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation request.

The rejection or acceptance of a SwitchOrderCancellationRequest is made using an OrderCancellationStatusReport message.

Outline

The SwitchOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. MasterReference
Reference assigned to a set of orders or trades in order to link them together.
- E. OrderReferences
Identification of the individual order to be cancelled.
- F. CopyDetails
Information provided when the message is a copy of a previous message.

57.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SwchOrdxCxlReq>	[1..1]		C3	
	MessageIdentification <MsgId>	[1..1]	±		1325
	PoolReference <PoolRef>	[0..1]	±		1325
	PreviousReference <PrvsRef>	[0..1]	±		1325
	MasterReference <MstrRef>	[0..1]	Text		1326
	OrderReferences <OrdrRefs>	[1..*]			1326
	OrderReference <OrdrRef>	[1..1]	Text		1326
	ClientReference <ClntRef>	[0..1]	Text		1326
	CancellationReference <CxlRef>	[0..1]	Text		1326
	CancellationReason <CxlRsn>	[0..1]	±		1327
	CopyDetails <CpyDtls>	[0..1]	±		1327

57.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C3 SwitchRule

(Rule)

The cancellation of a switch order must be a full cancellation. Partial cancellations are not allowed, for example, the cancellation of a given leg.

This constraint is defined at the MessageDefinition level.

57.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

57.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

57.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

57.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

57.4.4 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text](#) on page 3409

57.4.5 OrderReferences <OrdrRefs>

Presence: [1..*]

Definition: Identification of the individual order to be cancelled.

OrderReferences <OrdrRefs> contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		1326
	ClientReference <ClntRef>	[0..1]	Text		1326
	CancellationReference <CxIRef>	[0..1]	Text		1326
	CancellationReason <CxIRsn>	[0..1]	±		1327

57.4.5.1 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text](#) on page 3409

57.4.5.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text](#) on page 3409

57.4.5.3 CancellationReference <CxIRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

Datatype: Max35Text on page 3409

57.4.5.4 CancellationReason <CxIRsn>

Presence: [0..1]

Definition: Reason for the cancellation.

CancellationReason <CxIRsn> contains one of the following elements (see [CancellationReason32Choice](#) on page 2384 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		2384
Or}	Proprietary <Prtry>	[1..1]	±		2384

57.4.6 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	2395

58 MX setr.015.001.04 SwitchOrderConfirmationV04

58.1 MessageDefinition Functionality

Scope

The SwitchOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a previously received SwitchOrder instruction.

Usage

The SwitchOrderConfirmation message is used to confirm that all the legs of the previously instructed switch order have been executed. The reference of the switch order confirmation is identified in DealReference.

The reference of the original switch order is specified in OrderReference. The message identification of the SwitchOrder message in which the switch order was conveyed may also be quoted in RelatedReference but this is not recommended.

When the message is used to convey a confirmation amendment/s, the AmendmentIndicator must be present with the value 'true' or '1'. When this is the case, the message must only contain a confirmation amendment/s and not contain both a confirmation amendment/s and a 'new' confirmation/s.

Outline

The SwitchOrderConfirmationV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked MX message that was previously received.

E. SwitchExecutionDetails

Information related to a switch execution.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

58.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SwchOrdConf>	[1..1]		C17	
	MessageIdentification <MsgId>	[1..1]	±		1339
	PoolReference <PoolRef>	[0..1]	±		1339
	PreviousReference <PrvsRef>	[0..*]	±		1339
	RelatedReference <RltdRef>	[0..1]	±		1339
	SwitchExecutionDetails <SwchExctnDtls>	[1..*]		C16, C21	1340
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1344
	MasterReference <MstrRef>	[0..1]	Text		1344
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		1344
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		1345
	ReceivedDateTime <RcvdDtTm>	[0..1]	DateTime		1345
	DealReference <DealRef>	[1..1]	Text		1345
	OrderReference <OrdrRef>	[1..1]	Text		1345
	ClientReference <ClntRef>	[0..1]	Text		1345
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	1345
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1346
	CancellationRight <CxlRght>	[0..1]	±		1347
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		1347
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C8	1347
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1348
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1348
	AdditionalAmount <AddtlAmt>	[0..1]	±		1348
	BestExecution <BestExctn>	[0..1]	CodeSet		1349
	RedemptionLegDetails <RedLegDtls>	[1..*]		C22, C24	1349
	LegIdentification <LegId>	[0..1]	Text		1351
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		1351
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C15	1352
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1352
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		1352

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C2, C8	1353
	GrossAmount <GrssAmt>	[0..1]	Amount	C2, C8	1353
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	1354
	TradeDateTime <TradDtTm>	[1..1]	±		1355
	PriceDetails <PricDtls>	[1..1]	±		1355
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1355
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		1356
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1356
	IncomePreference <IncmPref>	[0..1]	CodeSet		1356
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1357
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1357
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C3	1357
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C30	1358
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1359
	TotalFees <TtlFees>	[0..1]	Amount	C2, C8	1359
	TotalTaxes <TtlTxs>	[0..1]	Amount	C2, C8	1360
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1361
	IndividualFee <IndvFee>	[0..*]	±	C5	1361
	IndividualTax <IndvTax>	[0..*]	±		1363
	InformativeTaxDetails <InftvTaxDtls>	[0..1]	±	C29	1363
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1365
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1367
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1367
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1367
	Equalisation <Equlstr>	[0..1]	±		1367
	GatingOrHoldBackDetails <GtgOrHldBckDtls>	[0..1]	±		1368
	SubscriptionLegDetails <SbcptLegDtls>	[1..*]		C23, C25	1368
	LegIdentification <LegId>	[0..1]	Text		1370
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		1370

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C15	1370
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1371
	NetAmount <NetAmt>	[0..1]	Amount	C2, C8	1371
	GrossAmount <GrssAmt>	[0..1]	Amount	C2, C8	1372
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	1373
	TradeDateTime <TradDtTm>	[1..1]	±		1373
	PriceDetails <PricDtls>	[1..1]	±		1374
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1374
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		1374
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1375
	IncomePreference <IncmPref>	[0..1]	CodeSet		1375
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1375
	RequestedNAVCurrency <ReqdNAVCCcy>	[0..1]	CodeSet	C3	1376
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C30	1376
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1377
	TotalFees <TtlFees>	[0..1]	Amount	C2, C8	1378
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C8	1379
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1379
	IndividualFee <IndvFee>	[0..*]	±	C5	1380
	IndividualTax <IndvTax>	[0..*]	±		1381
	InformativeTaxDetails <InftvTaxDtls>	[0..1]	±	C29	1381
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1383
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1385
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1385
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1385
	Equalisation <Equlstn>	[0..1]	±		1385
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1386
	ForeignExchangeDetails <FXDtls>	[0..*]	±		1389
	FinancialAdvice <FinAdvnc>	[0..1]	CodeSet		1390

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1390
	LateReport <LateRpt>	[0..1]	CodeSet		1390
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1391
	TransactionChannelType <TxChanlTp>	[0..1]	±		1391
	SignatureType <SgnrTp>	[0..1]	±		1391
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±	C31	1391
	CopyDetails <CpyDtls>	[0..1]	±		1392
	Extension <Xtnsn>	[0..*]	±	C13	1392

58.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AccountElementRule

(Rule)

Either AccountIdentification or Type must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C2 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C3 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C4 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C5 AppliedAmountRule

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

C6 BICFI

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C7 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004

- *Error Text:* Invalid Country Code.

C8 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C9 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C10 DeliverersCustodianRule

(Rule)

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00394
- *Error Text:* DeliverersCustodianDetails must be present.

C11 DeliverersIntermediary1DetailsRule

(Rule)

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00395
- *Error Text:* DeliverersIntermediary1Details must be present.

C12 DiscountElementRule

(Rule)

Amount Or Rate Or Basis must be present. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

C13 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C14 IBAN

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

C15 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C16 InvestmentAccountDetailsRule

(Rule)

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

C17 MultipleSwitchExecutionRule

(Rule)

If SwitchExecutionDetails is present more than once, then SwitchExecutionDetails/RedemptionLegDetails and SwitchExecutionDetails/SubscriptionLegDetails must only be present once.

This constraint is defined at the MessageDefinition level.

C18 NonStandardsSLAReferenceRule

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C19 OrderOriginatorEligibility1Rule

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C20 OrderOriginatorEligibility2Rule

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

C21 OrderOriginatorEligibility3Rule

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of RedemptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of SubscriptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility should be only present.

C22 PhysicalDeliveryDetails1Rule

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

C23 PhysicalDeliveryDetails1Rule

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396

- *Error Text:* PhysicalDeliveryDetails is not allowed.

C24 PhysicalDeliveryDetails2Rule

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

C25 PhysicalDeliveryDetails2Rule

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

C26 ReceiversCustodianRule

(Rule)

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00392
- *Error Text:* ReceiversCustodianDetails must be present.

C27 ReceiversIntermediary1DetailsRule

(Rule)

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00393
- *Error Text:* ReceiversIntermediary1Details must be present.

C28 SeriesElementRule

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C29 TaxElementRule

(Rule)

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C30 TransactionOverheadElementRule

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C31 WaiverElementRule

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

58.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

58.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

58.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

58.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

58.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

58.4.5 SwitchExecutionDetails <SwchExctnDtls>

Presence: [1..*]

Definition: Information related to a switch execution.

Impacted by: [C16 InvestmentAccountDetailsRule](#), [C21 OrderOriginatorEligibility3Rule](#)

SwitchExecutionDetails <SwchExctnDtls> contains the following **SwitchExecution7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1344
	MasterReference <MstrRef>	[0..1]	Text		1344
	PlaceOfTrade <PlcOfTrad>	[0..1]	±		1344
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		1345
	ReceivedDateTime <RcvdDtTm>	[0..1]	DateTime		1345
	DealReference <DealRef>	[1..1]	Text		1345
	OrderReference <OrdrRef>	[1..1]	Text		1345
	ClientReference <ClntRef>	[0..1]	Text		1345
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	1345
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±	C19	1346
	CancellationRight <CxlRght>	[0..1]	±		1347
	RequestedFutureTradeDate <ReqdFutrTradDt>	[0..1]	Date		1347
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C8	1347
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1348
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1348
	AdditionalAmount <AddtlAmt>	[0..1]	±		1348
	BestExecution <BestExctn>	[0..1]	CodeSet		1349
	RedemptionLegDetails <RedLegDtls>	[1..*]		C22, C24	1349
	LegIdentification <LegId>	[0..1]	Text		1351
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		1351
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C15	1352
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1352
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		1352
	NetAmount <NetAmt>	[0..1]	Amount	C2, C8	1353
	GrossAmount <GrssAmt>	[0..1]	Amount	C2, C8	1353
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	1354
	TradeDateTime <TradDtTm>	[1..1]	±		1355
	PriceDetails <PricDtls>	[1..1]	±		1355
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1355

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		1356
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1356
	IncomePreference <IncmPref>	[0..1]	CodeSet		1356
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1357
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1357
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C3	1357
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C30	1358
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1359
	TotalFees <TtlFees>	[0..1]	Amount	C2, C8	1359
	TotalTaxes <TtlTxs>	[0..1]	Amount	C2, C8	1360
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1361
	IndividualFee <IndvFee>	[0..*]	±	C5	1361
	IndividualTax <IndvTax>	[0..*]	±		1363
	InformativeTaxDetails <InftvTaxDtls>	[0..1]	±	C29	1363
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1365
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1367
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1367
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1367
	Equalisation <Equlstn>	[0..1]	±		1367
	GatingOrHoldBackDetails <GtgOrHldBckDtls>	[0..1]	±		1368
	SubscriptionLegDetails <SbcptLegDtls>	[1..*]		C23, C25	1368
	LegIdentification <LegId>	[0..1]	Text		1370
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		1370
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C15	1370
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1371
	NetAmount <NetAmt>	[0..1]	Amount	C2, C8	1371
	GrossAmount <GrssAmt>	[0..1]	Amount	C2, C8	1372
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	1373

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeDateTime <TradDtTm>	[1..1]	±		1373
	PriceDetails <PricDtls>	[1..1]	±		1374
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1374
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		1374
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1375
	IncomePreference <IncmPref>	[0..1]	CodeSet		1375
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1375
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C3	1376
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C30	1376
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1377
	TotalFees <TtlFees>	[0..1]	Amount	C2, C8	1378
	TotalTaxes <TtlTxs>	[0..1]	Amount	C2, C8	1379
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1379
	IndividualFee <IndvFee>	[0..*]	±	C5	1380
	IndividualTax <IndvTax>	[0..*]	±		1381
	InformativeTaxDetails <InftvTaxDtls>	[0..1]	±	C29	1381
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1383
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1385
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1385
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1385
	Equalisation <Equlstn>	[0..1]	±		1385
	CashSettlementDetails <CshSttlmDtls>	[0..1]	±		1386
	ForeignExchangeDetails <FXDtls>	[0..*]	±		1389
	FinancialAdvice <FinAdvc>	[0..1]	CodeSet		1390
	NegotiatedTrade <NgtdTrad>	[0..1]	CodeSet		1390
	LateReport <LateRpt>	[0..1]	CodeSet		1390
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1391
	TransactionChannelType <TxChanITp>	[0..1]	±		1391
	SignatureType <SgntrTp>	[0..1]	±		1391

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±	C31	1391

Constraints

- **InvestmentAccountDetailsRule**

(Rule)

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

- **OrderOriginatorEligibility3Rule**

(Rule)

Either InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of RedemptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of SubscriptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility should be only present.

58.4.5.1 AmendmentIndicator <AmdmntInd>

Presence: [0..1]

Definition: Indicates whether the confirmation is an amendment of a previous confirmation.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

58.4.5.2 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text](#) on page 3409

58.4.5.3 PlaceOfTrade <PlcOfTrad>

Presence: [0..1]

Definition: Market in which the advised trade transaction was executed.

PlaceOfTrade <PlcOfTrad> contains one of the following elements (see [PlaceOfTradeIdentification1Choice](#) on page 2350 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	2350
Or	Exchange <Xchg>	[1..1]	IdentifierSet		2351
Or	Party <Pty>	[1..1]	IdentifierSet	C7	2351
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		2351

58.4.5.4 OrderDateTime <OrdrDtTm>

Presence: [0..1]

Definition: Date and time at which the order was placed by the investor or its agent.

Datatype: ISODatetime on page 3391

58.4.5.5 ReceivedDateTime <RcvdDtTm>

Presence: [0..1]

Definition: Date and time the order was received by the executing party, for example, the transfer agent.

Datatype: ISODatetime on page 3391

58.4.5.6 DealReference <DealRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

Datatype: Max35Text on page 3409

58.4.5.7 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: Max35Text on page 3409

58.4.5.8 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: Max35Text on page 3409

58.4.5.9 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account impacted by the investment fund order execution.

Impacted by: C20 OrderOriginatorEligibility2Rule

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58](#) on page 2149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

58.4.5.10 RelatedPartyDetails <RltdPtyDtls>

Presence: [0..10]

Definition: Party related to the transaction.

Impacted by: [C19 OrderOriginatorEligibility1Rule](#)

RelatedPartyDetails <RltdPtyDtls> contains the following elements (see [Intermediary39](#) on page 2623 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2623
	Account <Acct>	[0..1]			2624
	Identification <Id>	[1..1]	Text		2624
	AccountServicer <AcctSvcr>	[0..1]	±		2624
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2624
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		2625
	Role <Role>	[0..1]	±		2625

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

58.4.5.11 CancellationRight <CxIRght>

Presence: [0..1]

Definition: Cancellation right of the investor with respect to the investment fund order.

CancellationRight <CxIRght> contains one of the following elements (see [CancellationRight1Choice](#) on page 2386 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2386
Or}	Proprietary <Prtry>	[1..1]	±		2386

58.4.5.12 RequestedFutureTradeDate <ReqdFutrTradDt>

Presence: [0..1]

Definition: Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

Datatype: [ISODate](#) on page 3391

58.4.5.13 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

Impacted by: [C2 ActiveCurrency](#) __, [C8 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

58.4.5.14 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

58.4.5.15 SettlementMethod <SttlmMtd>

Presence: [0..1]

Definition: Method by which the transaction is settled.

Datatype: DeliveryReceiptType2Code on page 3270

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

58.4.5.16 AdditionalAmount <AddtlAmt>

Presence: [0..1]

Definition: Choice between additional cash in or resulting cash out.

AdditionalAmount <AddtIAmt> contains one of the following elements (see [AdditionalAmount1Choice](#) on page 2320 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AdditionalCashIn <AddtlCshIn>	[1..1]	Amount	C3, C12	2320
Or}	ResultingCashOut <RsltgCshOut>	[1..1]	Amount	C3, C12	2321

58.4.5.17 BestExecution <BestExctn>

Presence: [0..1]

Definition: Specifies that the execution was subject to best execution rules as defined by MiFID.

Datatype: [BestExecution1Code](#) on page 3249

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

58.4.5.18 RedemptionLegDetails <RedLegDtls>

Presence: [1..*]

Definition: Redemption leg of a switch order execution.

Impacted by: [C22 PhysicalDeliveryDetails1Rule](#), [C24 PhysicalDeliveryDetails2Rule](#)

RedemptionLegDetails <RedLegDtls> contains the following **SwitchRedemptionLegExecution4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LegIdentification <LegId>	[0..1]	Text		1351
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		1351
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C15	1352
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1352
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		1352
	NetAmount <NetAmt>	[0..1]	Amount	C2, C8	1353
	GrossAmount <GrssAmt>	[0..1]	Amount	C2, C8	1353
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	1354
	TradeDateTime <TradDtTm>	[1..1]	±		1355
	PriceDetails <PricDtls>	[1..1]	±		1355
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1355
	CumDividendIndicator <CumDvddlnd>	[1..1]	Indicator		1356
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1356
	IncomePreference <IncmPref>	[0..1]	CodeSet		1356
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1357
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1357
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C3	1357
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C30	1358
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1359
	TotalFees <TtlFees>	[0..1]	Amount	C2, C8	1359
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C8	1360
	CommercialAgreementReference <ComrclAgrmtRef>	[0..1]	Text		1361
	IndividualFee <IndvFee>	[0..*]	±	C5	1361
	IndividualTax <IndvTax>	[0..*]	±		1363
	InformativeTaxDetails <InftvTaxDtls>	[0..1]	±	C29	1363
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1365
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1367
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1367

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1367
	Equalisation <Equlstn>	[0..1]	±		1367
	GatingOrHoldBackDetails <GtgOrHldBckDtls>	[0..1]	±		1368

Constraints

• **PhysicalDeliveryDetails1Rule**

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

 /PhysicalDeliveryDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

• **PhysicalDeliveryDetails2Rule**

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

 /PhysicalDeliveryDetails Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

58.4.5.18.1 LegIdentification <LegId>

Presence: [0..1]

Definition: Unique technical identifier for the instance of the leg within a switch.

Datatype: Max35Text on page 3409

58.4.5.18.2 LegExecutionIdentification <LegExctnId>

Presence: [0..1]

Definition: Unique identifier for the instance of the leg execution within a switch confirmation.

Datatype: Max35Text on page 3409

58.4.5.18.3 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class to which the redemption leg of the investment fund order execution is related.

Impacted by: [C15 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57](#) on page 1894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

58.4.5.18.4 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Number of investment funds units redeemed.

Datatype: [DecimalNumber](#) on page 3405

58.4.5.18.5 HoldingsRedemptionRate <HldgsRedRate>

Presence: [0..1]

Definition: Portion of the investor's holdings redeemed.

Datatype: [PercentageRate](#) on page 3406

58.4.5.18.6 NetAmount <NetAmt>

Presence: [0..1]

Definition: Amount of money paid to the investor when redeeming fund units.

Net amount = (Quantity * Price) - (Fees + Taxes).

Impacted by: C2 ActiveCurrency, C8 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

58.4.5.18.7 GrossAmount <GrssAmt>

Presence: [0..1]

Definition: Amount of money redeemed from the fund.

Gross Amount = Quantity * Price.

Impacted by: C2 ActiveCurrency, C8 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

58.4.5.18.8 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account impacted by the investment fund order execution.

Impacted by: [C20 OrderOriginatorEligibility2Rule](#)

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58](#) on page 2149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

• **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

58.4.5.18.9 TradeDateTime <TradDtTm>

Presence: [1..1]

Definition: Date and time at which a price is applied, according to the terms stated in the prospectus.

TradeDateTime <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

58.4.5.18.10 PriceDetails <PricDtIs>

Presence: [1..1]

Definition: Price at which the order was executed.

PriceDetails <PricDtIs> contains the following elements (see [UnitPrice22](#) on page 2858 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2858
	Value <Val>	[1..1]	±		2858
	PriceMethod <PricMtd>	[0..1]	CodeSet		2859
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2859
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2859
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2860
{Or	Code <Cd>	[1..1]	CodeSet		2860
Or}	Proprietary <Prtry>	[1..1]	±		2860
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2860

58.4.5.18.11 InformativePriceDetails <InftvPricDtIs>

Presence: [0..2]

Definition: Other quoted price than the one at which the order was executed.

InformativePriceDetails <InftvPricDtls> contains the following elements (see [UnitPrice22 on page 2858](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2858
	Value <Val>	[1..1]	±		2858
	PriceMethod <PricMtd>	[0..1]	CodeSet		2859
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2859
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2859
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2860
{Or	Code <Cd>	[1..1]	CodeSet		2860
Or}	Proprietary <Prtry>	[1..1]	±		2860
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2860

58.4.5.18.12 CumDividendIndicator <CumDvddInd>

Presence: [1..1]

Definition: Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

58.4.5.18.13 InterimProfitAmount <IntrmPrftAmt>

Presence: [0..1]

Definition: Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

InterimProfitAmount <IntrmPrftAmt> contains one of the following elements (see [ProfitAndLoss2Choice on page 2856](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2, C10	2856
Or}	Loss <Loss>	[1..1]	Amount	C2, C10	2857

58.4.5.18.14 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference1Code on page 3293](#)

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

58.4.5.18.15 Group1Or2Units <Grp1Or2Units>

Presence: [0..1]

Definition: Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

Datatype: UKTaxGroupUnit1Code on page 3390

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

58.4.5.18.16 RequestedSettlementCurrency <ReqdSttlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

58.4.5.18.17 RequestedNAVCurrency <ReqdNAVCcy>

Presence: [0..1]

Definition: Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

58.4.5.18.18 TransactionOverhead <TxOvrhd>

Presence: [0..1]

Definition: Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

Impacted by: C18 NonStandardsSLAReferenceRule, C30 TransactionOverheadElementRule

TransactionOverhead <TxOvrhd> contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1359
	TotalFees <TtlFees>	[0..1]	Amount	C2, C8	1359
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C8	1360
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1361
	IndividualFee <IndvFee>	[0..*]	±	C5	1361
	IndividualTax <IndvTax>	[0..*]	±		1363

Constraints

- **NonStandardsSLAReferenceRule**

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*

– *Error Text:*

- **TransactionOverheadElementRule**

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

58.4.5.18.18.1 TotalOverheadApplied <TtlOvrhdApld>

Presence: [0..1]

Definition: Total amount of overhead applied to the transaction that impacts the settlement amount.

Impacted by: C2 ActiveCurrency ____, C8 CurrencyAmount ____

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

– *Error Text:* Invalid currency code or too many decimal digits.

58.4.5.18.18.2 TotalFees <TtlFees>

Presence: [0..1]

Definition: Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

Impacted by: C2 ActiveCurrency __, C8 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

58.4.5.18.18.3 TotalTaxes <TtITaxs>

Presence: [0..1]

Definition: Total amount of taxes applied to the transaction that impacts the settlement amount.

Impacted by: C2 ActiveCurrency __, C8 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

58.4.5.18.18.4 CommercialAgreementReference <ComrcIAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

58.4.5.18.18.5 IndividualFee <IndvFee>

Presence: [0..*]

Definition: Individual fee (charge/commission).

Impacted by: C5 AppliedAmountRule

IndividualFee <IndvFee> contains the following elements (see [Fee2](#) on page 1775 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1776
{Or	Code <Cd>	[1..1]	CodeSet		1776
Or}	Proprietary <Prtry>	[1..1]	±		1777
	Basis <Bsis>	[0..1]			1777
{Or	Code <Cd>	[1..1]	CodeSet		1778
Or}	Proprietary <Prtry>	[1..1]	±		1778
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1778
	StandardRate <StdRate>	[0..1]	Rate		1779
	DiscountDetails <DscntDtls>	[0..1]		C14	1779
	Amount <Amt>	[0..1]	Amount	C2, C10	1780
	Rate <Rate>	[0..1]	Rate		1781
	Basis <Bsis>	[0..1]			1781
{Or	Code <Cd>	[1..1]	CodeSet		1781
Or}	Proprietary <Prtry>	[1..1]	±		1781
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1782
	AppliedRate <ApldRate>	[0..1]	Rate		1782
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1783
	RecipientIdentification <Rcptld>	[0..1]	±		1783
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1783

Constraints

• **AppliedAmountRule**

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

 /InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

 /AppliedAmount Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00400

– *Error Text:* AppliedAmount must be present.

58.4.5.18.18.6 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Individual tax.

IndividualTax <IndvTax> contains the following elements (see Tax31 on page 3111 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3111
{Or	Code <Cd>	[1..1]	CodeSet		3111
Or}	Proprietary <Prtry>	[1..1]	±		3113
	AppliedAmount <ApldAmt>	[1..1]	Amount	C2, C10	3113
	AppliedRate <ApldRate>	[0..1]	Rate		3114
	Country <Ctry>	[0..1]	CodeSet	C11	3114
	RecipientIdentification <RcptId>	[0..1]	±		3114
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3115
	Basis <Bsis>	[0..1]			3115
{Or	Code <Cd>	[1..1]	CodeSet		3115
Or}	Proprietary <Prtry>	[1..1]	±		3115
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3116

58.4.5.18.19 InformativeTaxDetails <InftvTaxDtls>

Presence: [0..1]

Definition: Additional information about tax that does not have an impact on the transaction overhead.

Impacted by: C29 TaxElementRule

InformativeTaxDetails <InftvTaxDtIs> contains the following elements (see [InformativeTax1 on page 3097](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	3099
	EUCapitalGain <EUCptlGn>	[0..1]			3099
{Or	Code <Cd>	[1..1]	CodeSet		3100
Or}	Proprietary <Prtry>	[1..1]	±		3100
	EUDividendStatus <EUDvddSts>	[0..1]			3100
{Or	Code <Cd>	[1..1]	CodeSet		3101
Or}	Proprietary <Prtry>	[1..1]	±		3101
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		3101
	IndividualTax <IndvTax>	[0..*]			3101
	Type <Tp>	[1..1]			3102
{Or	Code <Cd>	[1..1]	CodeSet		3102
Or}	Proprietary <Prtry>	[1..1]	±		3104
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	3104
	InformativeRate <InftvRate>	[0..1]	Rate		3105
	Country <Ctry>	[0..1]	CodeSet	C11	3105
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3105
	ExemptionReason <XmptnRsn>	[0..1]			3105
{Or	Code <Cd>	[1..1]	CodeSet		3106
Or}	Proprietary <Prtry>	[1..1]	±		3108
	RecipientIdentification <Rcptld>	[0..1]	±		3109
	TaxCalculationDetails <TaxClctnDtIs>	[0..1]			3109
	Basis <Bsis>	[0..1]			3109
{Or	Code <Cd>	[1..1]	CodeSet		3110
Or}	Proprietary <Prtry>	[1..1]	±		3110
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3110

Constraints

- **TaxElementRule**
(Rule)

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

58.4.5.18.20 SettlementAndCustodyDetails <SttlmAndCtdyDtIs>

Presence: [0..1]

Definition: Parameters used to execute the settlement of an investment fund order.

SettlementAndCustodyDetails <SttlmAndCtdyDtls> contains the following elements (see FundSettlementParameters11 on page 2930 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2932
	SettlementPlace <SttlmPlc>	[1..1]	±		2932
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2932
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2933
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2933
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2933
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2933
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2935
	PartyIdentification <PtyId>	[1..1]	±		2935
	AccountIdentification <AcctId>	[0..1]	Text		2935
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2935
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2936
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2937
	PartyIdentification <PtyId>	[1..1]	±		2937
	AccountIdentification <AcctId>	[0..1]	Text		2937
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2937
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2939
	PartyIdentification <PtyId>	[1..1]	±		2939
	AccountIdentification <AcctId>	[0..1]	Text		2939
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2939
	PartyIdentification <PtyId>	[1..1]	±		2940
	AccountIdentification <AcctId>	[0..1]	Text		2940
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2940
	PartyIdentification <PtyId>	[1..1]	±		2940
	AccountIdentification <AcctId>	[0..1]	Text		2940

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrAgtDtls>	[1..1]			2941
	PartyIdentification <PtyId>	[1..1]	±		2941
	AccountIdentification <AcctId>	[0..1]	Text		2941

58.4.5.18.21 PhysicalDeliveryIndicator <PhysDlvryInd>

Presence: [1..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

58.4.5.18.22 PhysicalDeliveryDetails <PhysDlvryDtls>

Presence: [0..1]

Definition: Information related to the physical delivery of the securities.

PhysicalDeliveryDetails <PhysDlvryDtls> contains the following elements (see [DeliveryParameters3](#) on page 2826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2826
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2826

58.4.5.18.23 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

Definition: Additional specific settlement information for non-regulated traded funds.

Datatype: [Max350Text](#) on page 3409

58.4.5.18.24 Equalisation <Equlstn>

Presence: [0..1]

Definition: Part of an investor's subscription amount that was held by the fund in order to pay incentive/performance fees at the end of the fiscal year, and is returned due to the redemption.

Equalisation <Equlstn> contains the following elements (see [Equalisation1](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2319
	Rate <Rate>	[0..1]	Rate		2320

58.4.5.18.25 GatingOrHoldBackDetails <GtgOrHldBckDtls>

Presence: [0..1]

Definition: Information about gating and hold back of redemption proceeds.

GatingOrHoldBackDetails <GtgOrHldBckDtls> contains the following elements (see [HoldBackInformation2](#) on page 2329 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2329
	Amount <Amt>	[0..1]	Amount	C2, C10	2329
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		2330
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		2330
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		2331
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		2331
	FinalConfirmation <FnlConf>	[0..1]	Indicator		2332

58.4.5.19 SubscriptionLegDetails <SbcptLegDtls>

Presence: [1..*]

Definition: Subscription leg of a switch order execution.

Impacted by: C23 PhysicalDeliveryDetails1Rule , C25 PhysicalDeliveryDetails2Rule

SubscriptionLegDetails <SbcptLegDtls> contains the following **SwitchSubscriptionLegExecution4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LegIdentification <LegId>	[0..1]	Text		1370
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		1370
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C15	1370
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1371
	NetAmount <NetAmt>	[0..1]	Amount	C2, C8	1371
	GrossAmount <GrssAmt>	[0..1]	Amount	C2, C8	1372
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	1373
	TradeDateTime <TradDtTm>	[1..1]	±		1373
	PriceDetails <PricDtls>	[1..1]	±		1374
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1374
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		1374
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1375
	IncomePreference <IncmPref>	[0..1]	CodeSet		1375
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1375
	RequestedNAVCurrency <ReqdNAVVCcy>	[0..1]	CodeSet	C3	1376
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C30	1376
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1377
	TotalFees <TtlFees>	[0..1]	Amount	C2, C8	1378
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C8	1379
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1379
	IndividualFee <IndvFee>	[0..*]	±	C5	1380
	IndividualTax <IndvTax>	[0..*]	±		1381
	InformativeTaxDetails <InftvTaxDtls>	[0..1]	±	C29	1381
	SettlementAndCustodyDetails <SttlmAndCtdyDtls>	[0..1]	±		1383
	PhysicalDeliveryIndicator <PhysDlvryInd>	[1..1]	Indicator		1385
	PhysicalDeliveryDetails <PhysDlvryDtls>	[0..1]	±		1385
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		1385
	Equalisation <Equlstr>	[0..1]	±		1385

Constraints

• PhysicalDeliveryDetails1Rule

(Rule)

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

 /PhysicalDeliveryDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00396
- *Error Text:* PhysicalDeliveryDetails is not allowed.

• PhysicalDeliveryDetails2Rule

(Rule)

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

 /PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

 /PhysicalDeliveryDetails Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00397
- *Error Text:* PhysicalDeliveryDetails must be present.

58.4.5.19.1 LegIdentification <LegId>

Presence: [0..1]

Definition: Unique technical identifier for the instance of the leg within a switch.

Datatype: [Max35Text on page 3409](#)

58.4.5.19.2 LegExecutionIdentification <LegExctnId>

Presence: [0..1]

Definition: Unique identifier for the instance of the leg execution within a switch confirmation.

Datatype: [Max35Text on page 3409](#)

58.4.5.19.3 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class to which the subscription leg of the investment fund order execution is related.

Impacted by: [C15 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57](#) on page 1894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

58.4.5.19.4 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Number of investment fund units subscribed.

Datatype: [DecimalNumber](#) on page 3405

58.4.5.19.5 NetAmount <NetAmt>

Presence: [0..1]

Definition: Amount of money invested in the fund.

Net Amount = Quantity * Price.

Impacted by: [C2 ActiveCurrency](#) __, [C8 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

58.4.5.19.6 GrossAmount <GrssAmt>

Presence: [0..1]

Definition: Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity * Price) + (Fees + Taxes).

Impacted by: C2 ActiveCurrency, C8 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

58.4.5.19.7 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account impacted by the investment fund order execution.

Impacted by: [C20 OrderOriginatorEligibility2Rule](#)

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58](#) on page 2149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

58.4.5.19.8 TradeDateTime <TradDtTm>

Presence: [1..1]

Definition: Date and time at which a price is applied, according to the terms stated in the prospectus.

TradeDateTime <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

58.4.5.19.9 PriceDetails <PricDtls>

Presence: [1..1]

Definition: Price at which the order was executed.

PriceDetails <PricDtls> contains the following elements (see [UnitPrice22](#) on page 2858 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2858
	Value <Val>	[1..1]	±		2858
	PriceMethod <PricMtd>	[0..1]	CodeSet		2859
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2859
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2859
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2860
{Or	Code <Cd>	[1..1]	CodeSet		2860
Or}	Proprietary <Prtry>	[1..1]	±		2860
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2860

58.4.5.19.10 InformativePriceDetails <InfvtvPricDtls>

Presence: [0..2]

Definition: Other quoted price than the one at which the order was executed.

InformativePriceDetails <InfvtvPricDtls> contains the following elements (see [UnitPrice22](#) on page 2858 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2858
	Value <Val>	[1..1]	±		2858
	PriceMethod <PricMtd>	[0..1]	CodeSet		2859
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2859
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2859
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2860
{Or	Code <Cd>	[1..1]	CodeSet		2860
Or}	Proprietary <Prtry>	[1..1]	±		2860
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2860

58.4.5.19.11 CumDividendIndicator <CumDvddInd>

Presence: [1..1]

Definition: Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

58.4.5.19.12 InterimProfitAmount <IntrmPrftAmt>

Presence: [0..1]

Definition: Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

InterimProfitAmount <IntrmPrftAmt> contains one of the following elements (see [ProfitAndLoss2Choice](#) on page 2856 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2, C10	2856
Or}	Loss <Loss>	[1..1]	Amount	C2, C10	2857

58.4.5.19.13 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference1Code](#) on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

58.4.5.19.14 RequestedSettlementCurrency <ReqdSttlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode](#) on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

58.4.5.19.15 RequestedNAVCurrency <ReqdNAVCcy>

Presence: [0..1]

Definition: Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

58.4.5.19.16 TransactionOverhead <TxOvrhd>

Presence: [0..1]

Definition: Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

Impacted by: C18 NonStandardsSLAResourceRule, C30 TransactionOverheadElementRule

TransactionOverhead <TxOvrhd> contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1377
	TotalFees <TtlFees>	[0..1]	Amount	C2, C8	1378
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C8	1379
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1379
	IndividualFee <IndvFee>	[0..*]	±	C5	1380
	IndividualTax <IndvTax>	[0..*]	±		1381

Constraints

- **NonStandardsSLAReferenceRule**

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **TransactionOverheadElementRule**

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

58.4.5.19.16.1 TotalOverheadApplied <TtlOvrhdApld>

Presence: [0..1]

Definition: Total amount of overhead applied to the transaction that impacts the settlement amount.

Impacted by: C2 ActiveCurrency __, C8 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

58.4.5.19.16.2 TotalFees <TtlFees>

Presence: [0..1]

Definition: Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

Impacted by: C2 ActiveCurrency, C8 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

58.4.5.19.16.3 TotalTaxes <TtITaxs>

Presence: [0..1]

Definition: Total amount of taxes applied to the transaction that impacts the settlement amount.

Impacted by: C2 ActiveCurrency, C8 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

58.4.5.19.16.4 CommercialAgreementReference <ComrclAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

58.4.5.19.16.5 IndividualFee <IndvFee>

Presence: [0..*]

Definition: Individual fee (charge/commission).

Impacted by: C5 AppliedAmountRule

IndividualFee <IndvFee> contains the following elements (see [Fee2](#) on page 1775 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1776
{Or	Code <Cd>	[1..1]	CodeSet		1776
Or}	Proprietary <Prtry>	[1..1]	±		1777
	Basis <Bsis>	[0..1]			1777
{Or	Code <Cd>	[1..1]	CodeSet		1778
Or}	Proprietary <Prtry>	[1..1]	±		1778
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1778
	StandardRate <StdRate>	[0..1]	Rate		1779
	DiscountDetails <DscntDtls>	[0..1]		C14	1779
	Amount <Amt>	[0..1]	Amount	C2, C10	1780
	Rate <Rate>	[0..1]	Rate		1781
	Basis <Bsis>	[0..1]			1781
{Or	Code <Cd>	[1..1]	CodeSet		1781
Or}	Proprietary <Prtry>	[1..1]	±		1781
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1782
	AppliedRate <ApldRate>	[0..1]	Rate		1782
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1783
	RecipientIdentification <RcptId>	[0..1]	±		1783
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1783

Constraints

• **AppliedAmountRule**

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

 /InformativeIndicator is equal to value 'false'

 Or /InformativeIndicator is equal to value '0'

Following Must be True

 /AppliedAmount Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

58.4.5.19.16.6 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Individual tax.

IndividualTax <IndvTax> contains the following elements (see [Tax31](#) on page 3111 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3111
{Or	Code <Cd>	[1..1]	CodeSet		3111
Or}	Proprietary <Prtry>	[1..1]	±		3113
	AppliedAmount <ApldAmt>	[1..1]	Amount	C2, C10	3113
	AppliedRate <ApldRate>	[0..1]	Rate		3114
	Country <Ctry>	[0..1]	CodeSet	C11	3114
	RecipientIdentification <Rcptld>	[0..1]	±		3114
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3115
	Basis <Bsis>	[0..1]			3115
{Or	Code <Cd>	[1..1]	CodeSet		3115
Or}	Proprietary <Prtry>	[1..1]	±		3115
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3116

58.4.5.19.17 InformativeTaxDetails <InftvTaxDtls>

Presence: [0..1]

Definition: Additional information about tax that does not have an impact on the transaction overhead.

Impacted by: [C29 TaxElementRule](#)

InformativeTaxDetails <InftvTaxDtls> contains the following elements (see [InformativeTax1](#) on page 3097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	3099
	EUCapitalGain <EUCptlGn>	[0..1]			3099
{Or	Code <Cd>	[1..1]	CodeSet		3100
Or}	Proprietary <Prtry>	[1..1]	±		3100
	EUDividendStatus <EUDvddSts>	[0..1]			3100
{Or	Code <Cd>	[1..1]	CodeSet		3101
Or}	Proprietary <Prtry>	[1..1]	±		3101
	PercentageOfDebtClaim <PctgOfDebtClim>	[0..1]	Rate		3101
	IndividualTax <IndvTax>	[0..*]			3101
	Type <Tp>	[1..1]			3102
{Or	Code <Cd>	[1..1]	CodeSet		3102
Or}	Proprietary <Prtry>	[1..1]	±		3104
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	3104
	InformativeRate <InftvRate>	[0..1]	Rate		3105
	Country <Ctry>	[0..1]	CodeSet	C11	3105
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3105
	ExemptionReason <XmptnRsn>	[0..1]			3105
{Or	Code <Cd>	[1..1]	CodeSet		3106
Or}	Proprietary <Prtry>	[1..1]	±		3108
	RecipientIdentification <Rcptld>	[0..1]	±		3109
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3109
	Basis <Bsis>	[0..1]			3109
{Or	Code <Cd>	[1..1]	CodeSet		3110
Or}	Proprietary <Prtry>	[1..1]	±		3110
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3110

Constraints

- **TaxElementRule**
(Rule)

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

58.4.5.19.18 SettlementAndCustodyDetails <SttlmAndCtdyDtIs>

Presence: [0..1]

Definition: Parameters used to execute the settlement of an investment fund order.

SettlementAndCustodyDetails <SttlmAndCtdyDtls> contains the following elements (see FundSettlementParameters12 on page 2919 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2921
	SettlementPlace <SttlmPlc>	[1..1]	±		2921
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2921
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2922
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2922
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2922
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2922
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2924
	AccountIdentification <AcctId>	[0..1]	Text		2924
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2925
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2926
	PartyIdentification <PtyId>	[1..1]	±		2926
	AccountIdentification <AcctId>	[0..1]	Text		2926
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2926
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2928
	AccountIdentification <AcctId>	[0..1]	Text		2928
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2929
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrAgtDtls>	[1..1]			2930
	PartyIdentification <PtyId>	[1..1]	±		2930
	AccountIdentification <AcctId>	[0..1]	Text		2930

58.4.5.19.19 PhysicalDeliveryIndicator <PhysDlvryInd>

Presence: [1..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

58.4.5.19.20 PhysicalDeliveryDetails <PhysDlvryDtls>

Presence: [0..1]

Definition: Information related to the physical delivery of the securities.

PhysicalDeliveryDetails <PhysDlvryDtls> contains the following elements (see [DeliveryParameters3](#) on page 2826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2826
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2826

58.4.5.19.21 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

Definition: Additional specific settlement information for non-regulated traded funds.

Datatype: [Max350Text](#) on page 3409

58.4.5.19.22 Equalisation <Equlstn>

Presence: [0..1]

Definition: Part of an investor's subscription amount that is held by the fund in order to pay incentive/performance fees at the end of the fiscal year.

Equalisation <Equlstn> contains the following elements (see [Equalisation1](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2319
	Rate <Rate>	[0..1]	Rate		2320

58.4.5.20 CashSettlementDetails <CshSttlmDtIs>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

CashSettlementDetails <CshSttlmDtls> contains the following elements (see [PaymentTransaction71](#) on page 2732 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashInOrOut <CshInOrOut>	[1..1]			2735
{Or	CashInPaymentInstrument <CshInPmtInstrm>	[1..1]			2738
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2740
	Type <Tp>	[1..1]	CodeSet		2740
	Number <Nb>	[1..1]	Text		2741
	HolderName <HldrNm>	[1..1]	Text		2741
	StartDate <StartDt>	[0..1]	YearMonth		2741
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2741
	CardIssuerName <CardIssrNm>	[0..1]	Text		2741
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2741
	SecurityCode <SctyCd>	[0..1]	Text		2742
	SequenceNumber <SeqNb>	[0..1]	Text		2742
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2742
	Reference <Ref>	[0..1]	Text		2742
	Debtor <Dbtr>	[0..1]	±		2742
	DebtorAccount <DbtrAcct>	[0..1]	±		2743
	DebtorAgent <DbtrAgt>	[0..1]	±		2743
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2743
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2743
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2744
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2744
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2744
	CreditorAgent <CdtrAgt>	[1..1]	±		2745
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2745
	Creditor <Cdtr>	[0..1]	±		2745
	CreditorAccount <CdtrAcct>	[1..1]	±		2745
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2746
Or	ChequeDetails <ChqDtls>	[1..1]			2746
	Number <Nb>	[0..1]	Text		2746
	PayeeIdentification <Pyeeld>	[1..1]	±		2747

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Draweeldentification <Drweeld>	[0..1]	±		2747
	Drawerldentification <Drwrlld>	[0..1]	±		2747
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2747
	Number <Nb>	[0..1]	Text		2748
	Payeeldentification <Pyeeld>	[1..1]	±		2748
	Draweeldentification <Drweeld>	[0..1]	±		2748
	Drawerldentification <Drwrlld>	[0..1]	±		2748
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2749
	Accountldentification <Acctld>	[0..1]	Text		2749
	Type <Tp>	[0..1]	±		2749
Or}	CashOutPaymentInstrument <CshOutPmtInstrm>	[1..1]			2750
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2751
	Reference <Ref>	[0..1]	Text		2752
	Debtor <Dbtr>	[0..1]	±		2752
	DebtorAccount <DbtrAcct>	[0..1]	±		2752
	DebtorAgent <DbtrAgt>	[0..1]	±		2753
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2753
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2753
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2753
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2754
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2754
	CreditorAgent <CdtrAgt>	[1..1]	±		2754
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2754
	Creditor <Cdtr>	[0..1]	±		2755
	CreditorAccount <CdtrAcct>	[1..1]	±		2755
Or	ChequeDetails <ChqDtls>	[1..1]			2755
	Number <Nb>	[0..1]	Text		2756
	Payeeldentification <Pyeeld>	[1..1]	±		2756
	Draweeldentification <Drweeld>	[0..1]	±		2756
	Drawerldentification <Drwrlld>	[0..1]	±		2756
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2757

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2757
	PayeeIdentification <Pyeeld>	[1..1]	±		2757
	DraweeIdentification <Drweeld>	[0..1]	±		2757
	DrawerIdentification <Drwrlid>	[0..1]	±		2758
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2758
	AccountIdentification <Acctld>	[0..1]	Text		2758
	Type <Tp>	[0..1]	±		2759

58.4.5.21 ForeignExchangeDetails <FXDtls>

Presence: [0..*]

Definition: Information needed to process a currency exchange or conversion.

Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms33](#) on page 1983 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1983
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1984
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1985
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1985
	ExchangeRate <XchgRate>	[1..1]	Rate		1986
	QuotationDate <QtnDt>	[0..1]	DateTime		1986
	QuotingInstitution <QtgInstn>	[0..1]	±		1986

58.4.5.22 FinancialAdvice <FinAdvc>

Presence: [0..1]

Definition: Specifies if advice has been received from an independent financial advisor.

Datatype: [FinancialAdvice1Code](#) on page 3281

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

58.4.5.23 NegotiatedTrade <NgtdTrad>

Presence: [0..1]

Definition: Specifies whether the trade is negotiated.

Datatype: [NegotiatedTrade1Code](#) on page 3316

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

58.4.5.24 LateReport <LateRpt>

Presence: [0..1]

Definition: Specifies whether the order execution confirmation is late.

Datatype: [LateReport1Code](#) on page 3313

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

58.4.5.25 CustomerConductClassification <CstmrCndctClssfctn>

Presence: [0..1]

Definition: Assessment of the customer's behaviour at the time of the account opening application.

CustomerConductClassification <CstmrCndctClssfctn> contains one of the following elements (see [CustomerConductClassification1Choice](#) on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2145
Or}	Proprietary <Prtry>	[1..1]	±		2146

58.4.5.26 TransactionChannelType <TxChanITp>

Presence: [0..1]

Definition: Means by which the investor or account owner submits the open account form.

TransactionChannelType <TxChanITp> contains one of the following elements (see [TransactionChannelType1Choice](#) on page 2455 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2455
Or}	Proprietary <Prtry>	[1..1]	±		2455

58.4.5.27 SignatureType <SgntrTp>

Presence: [0..1]

Definition: Type of signature.

SignatureType <SgntrTp> contains one of the following elements (see [SignatureType1Choice](#) on page 2385 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2385
Or}	Proprietary <Prtry>	[1..1]	±		2385

58.4.5.28 OrderWaiverDetails <OrdWvrDtls>

Presence: [0..1]

Definition: Information about a non-standard order.

Impacted by: [C31 WaiverElementRule](#)

OrderWaiverDetails <OrdrWvrDtls> contains the following elements (see [OrderWaiver1](#) on page 2318 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			2318
{Or	Code <Cd>	[1..1]	CodeSet		2318
Or}	Proprietary <Prtry>	[1..1]	±		2319
	InformationValue <InfVal>	[0..1]	Text		2319

Constraints

- **WaiverElementRule**

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

58.4.6 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	2395

58.4.7 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C13 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

59 MX setr.016.001.04 OrderInstructionStatusReportV04

59.1 MessageDefinition Functionality

Scope

The OrderInstructionStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to report the status of an order from the time the executing party receives the order until the time the order is executed.

Usage

The OrderInstructionStatusReport message is used to report on the status of a subscription, redemption or a switch order.

The OrderInstructionStatusReport message may be used to give the status of:

- one order message by using OrderDetailsReport or,
- one or more individual order instructions by using IndividualOrderDetailsReport, or
- one or more switch orders by using SwitchOrderDetailsReport.

If the OrderInstructionStatusReport message is used to report the status of an individual order, then IndividualOrderDetailsReport is used and the order reference of the individual order is quoted in OrderReference. The message identification of the message in which the individual order was conveyed may also be quoted in RelatedReference but this is not recommended.

If the OrderInstructionStatusReport message is used to report the status of a switch order, then SwitchOrderDetailsReport is used and the order reference of the switch order is quoted in OrderReference. The message identification of the message in which the switch order was conveyed may also be quoted in RelatedReference but this is not recommended.

If the OrderInstructionStatusReport message is used to report the status of an entire order message, for example, the SubscriptionBulkOrder, or a SubscriptionOrder containing several orders, then OrderDetailsReport is used and the message identification of the order message is quoted in RelatedReference. All the orders within the message must have the same status.

One of the following statuses can be reported:

- an accepted status, or,
- an already executed status, or,
- a sent to next party status, or,
- a received status, or,
- a settled status, or,
- a communication problem with next party status, or,

- a confirmation amendment status, or,
- a done for the day status, or,
- a partially done status, or,
- an open status, or,
- a cancelled status, or
- a conditionally accepted status, or,
- a rejected status, or,
- a suspended status, or,
- a partially settled status, or,
- an in-repair status (only for an individual or switch order).

For a switch order, the OrderInstructionStatusReport message provides the status of the whole switch order, that is, it is not possible to accept one leg and to reject the other leg: the entire switch order has to be rejected. In order to identify the legs within the switch that are causing the problem, the leg is identified in either the RedemptionLegIdentification or SubscriptionLegIdentification elements.

When the OrderInstructionStatusReport is used to give the status of an individual or a switch order, the following can be specified:

- repaired conditions (for a switch, this is at the level of a leg),
- information related to the order, for example, settlement amount, number of units, expected trade date.

Outline

The OrderInstructionStatusReportV04 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. Reference

Reference to the message or communication that was previously received.

C. StatusReport

Status of the order.

D. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

59.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <OrdrInstrStsRpt>	[1..1]		C14, C17	
	MessageIdentification <MsgId>	[1..1]	±		1400
	Reference <Ref>	[0..1]	±		1400
	StatusReport <StsRpt>	[1..1]	±		1401
	Extension <Xtnsn>	[0..*]	±	C11	1403

59.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AdditionalInformationRule

(Rule)

The AdditionalInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

C4 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C5 CancelledElementRule

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C6 CommercialAgreementRule

(Rule)

If CommercialAgreementReference is present, then NewCommercialAgreementReferenceIndicator must be present too. (CrossElementComplexRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00399
- *Error Text:* NewCommercialAgreementReferenceIndicator must be present.

C7 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C8 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C9 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C10 DateElementRule

(Rule)

Either ExpectedTradeDateTime or ExpectedCashSettlementDate must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C11 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C12 FeeElementRule

(Rule)

One of the elements (Type, RepairedStandardAmount, RepairedStandardRate, RepairedDiscountAmount, RepairedDiscountRate, RepairedRequestedAmount, RepairedRequestedRate, CommercialAgreementReference, NewCommercialAgreementReferenceIndicator) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C13 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C14 MessageNameAndReferenceGuideline

(Rule)

If Reference/RelatedReference/MessageName or Reference/OtherReference/MessageName is present, it must contain 502 or must start with setr.001, setr.004, setr.007, setr.010, setr.013, setr.019 or setr.018 and Reference/RelatedReference/Reference must contain the message reference of a message in this list.

This constraint is defined at the MessageDefinition level.

C15 OrderDataElementRule

(Rule)

One of the elements (InvestmentAccountDetails, FinancialInstrumentDetails, UnitsNumber, NetAmount, GrossAmount, HoldingsRedemptionRate, SettlementAmount, UnitCurrency, QuotedCurrency) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C16 OrderOriginatorEligibility2Rule

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

C17 OtherReferenceGuideline

(Guideline)

Reference/OtherReference should be used to reference an order instruction sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

This constraint is defined at the MessageDefinition level.

C18 RejectedElementRule

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C19 SeriesElementRule

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C20 SwitchOrderDataElementRule

(Rule)

One of the elements (SettlementAmount, SettlementMethod, AdditionalAmount, UnitCurrency, QuotedCurrency) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

59.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

59.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

59.4.2 Reference <Ref>

Presence: [0..1]

Definition: Reference to the message or communication that was previously received.

Reference <Ref> contains one of the following elements (see [References61Choice](#) on page 2003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		2004
Or}	OtherReference <OthrRef>	[1..2]	±		2004

59.4.3 StatusReport <StsRpt>

Presence: [1..1]

Definition: Status of the order.

StatusReport <StsRpt> contains one of the following elements (see [Status24Choice](#) on page 2995 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrderDetailsReport <OrdrDtlsRpt>	[1..1]	±		2997
Or	IndividualOrderDetailsReport <IndvOrdrDtlsRpt>	[1..*]			2998
	MasterReference <MstrRef>	[0..1]	Text		2998
	OrderReference <OrdrRef>	[1..1]	Text		2998
	ClientReference <CIntRef>	[0..1]	Text		2999
	DealReference <DealRef>	[0..1]	Text		2999
	CancellationReference <CxIRef>	[0..1]	Text		2999
	OrderStatus <OrdrSts>	[1..1]			2999
{Or	Status <Sts>	[1..1]	CodeSet		2999
Or	Cancelled <Canc>	[1..1]	±	C3, C5	3000
Or	ConditionallyAccepted <CondlyAcptd>	[1..1]	±		3001
Or	Rejected <Rjctd>	[1..10]	±	C18	3001
Or	Suspended <Sspd>	[1..1]	±		3002
Or	InRepair <InRpr>	[1..1]	±		3002
Or}	PartiallySettled <PrtyStltd>	[1..1]	±		3003
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	3003
	StatusInitiator <StsIntr>	[0..1]	±		3004
	OrderData <OrdrData>	[0..1]	±	C15	3004
	NewDetails <NewDtls>	[0..1]	±	C10	3005
	GatingOrHoldBackDetails <GtgOrHldBckDtls>	[0..1]	±		3006
Or}	SwitchOrderDetailsReport <SwchOrdrDtlsRpt>	[1..*]			3006
	MasterReference <MstrRef>	[0..1]	Text		3007
	OrderReference <OrdrRef>	[1..1]	Text		3007
	ClientReference <CIntRef>	[0..1]	Text		3008
	DealReference <DealRef>	[0..1]	Text		3008
	CancellationReference <CxIRef>	[0..1]	Text		3008
	OrderStatus <OrdrSts>	[1..1]			3008
{Or	Status <Sts>	[1..1]	CodeSet		3008
Or	Cancelled <Canc>	[1..1]	±	C3, C5	3009
Or	ConditionallyAccepted <CondlyAcptd>	[1..1]	±		3010

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	Rejected <Rjctd>	[1..10]	±	C18	3010
Or	Suspended <Sspd>	[1..1]	±		3011
Or	InRepair <InRpr>	[1..1]	±		3011
Or}	PartiallySettled <PrtySttld>	[1..1]	±		3012
	LegInformation <LegInf>	[0..*]			3012
	LegIdentification <LegId>	[1..1]			3013
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		3013
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		3013
	LegRejectionReason <LegRjctnRsn>	[0..1]	Text		3013
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	3013
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	3015
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	3015
	StatusInitiator <StsInitr>	[0..1]	±		3016
	OrderData <OrdData>	[0..1]	±	C20	3016
	NewDetails <NewDtls>	[0..1]	±		3017

59.4.4 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: C11 ExtensionRule

Extension <Xtnsn> contains the following elements (see Extension1 on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

60 MX setr.017.001.04 OrderCancellationStatusReportV04

60.1 MessageDefinition Functionality

Scope

The OrderCancellationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to report the status of an order cancellation request that was previously received.

Usage

The OrderCancellationStatusReport message is used to provide the status of:

- one or more individual order cancellation requests by using IndividualCancellationStatusReport, or,
- an order cancellation request message by using CancellationStatusReport.

If the OrderCancellationStatusReport message is used to report the status of an individual order cancellation request, then the repetitive IndividualCancellationStatusReport sequence is used and the order reference of the individual order is quoted in OrderReference. The message identification of the message in which the individual order was conveyed may also be quoted in RelatedReference but this is not recommended.

If the OrderCancellationStatusReport message is used to report the status of an entire order cancellation request message, for example, the SubscriptionBulkOrderCancellationRequest, or a SubscriptionOrderCancellationRequest containing several orders, then the CancellationStatusReport sequence is used. The message identification of the order cancellation request message may also be quoted in RelatedReference but this is not recommended. All the order cancellation requests within the message must have the same status.

One of the following statuses can be reported:

- the order cancellation is pending, or,
- the order cancellation request is rejected, or,
- the order is cancelled.

When the cancellation is rejected, the reason for the rejection must be specified.

Outline

The OrderCancellationStatusReportV04 MessageDefinition is composed of 4 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. Reference
Reference to the message or communication that was previously received.
- C. StatusReport

Status of the order cancellation.

D. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

60.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <OrdrCxlStsRpt>	[1..1]		C5, C7	
	MessageIdentification <MsgId>	[1..1]	±		1407
	Reference <Ref>	[0..1]	±		1407
	StatusReport <StsRpt>	[1..1]	±		1407
	Extension <Xtnsn>	[0..*]	±	C3	1408

60.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C3 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C4 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C5 MessageNameAndReferenceGuideline

(Rule)

If Reference/RelatedReference/MessageName or Reference/OtherReference/MessageName is present, it must contain 502 or must start with setr.002, setr.005, setr.008, setr.011, setr.014 or setr.018 and Reference/RelatedReference/Reference must contain the message reference of a message in this list.

This constraint is defined at the MessageDefinition level.

C6 OrderOriginatorEligibility2Rule

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

C7 OtherReferenceGuideline

(Rule)

OtherReference should be used to reference an order cancellation 'message' sent in a proprietary way or used for a system reference. If OtherReference is present, OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

This constraint is defined at the MessageDefinition level.

C8 ReasonElementRule

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

C9 SeriesElementRule

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

60.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

60.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

60.4.2 Reference <Ref>

Presence: [0..1]

Definition: Reference to the message or communication that was previously received.

Reference <Ref> contains one of the following elements (see [References61Choice on page 2003](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		2004
Or}	OtherReference <OthrRef>	[1..2]	±		2004

60.4.3 StatusReport <StsRpt>

Presence: [1..1]

Definition: Status of the order cancellation.

StatusReport <StsRpt> contains one of the following elements (see [Status26Choice](#) on page 2990 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CancellationStatusReport <Cx/StsRpt>	[1..1]			2990
	MasterReference <MstrRef>	[0..1]	Text		2990
	CancellationStatus <Cx/Sts>	[1..1]	±		2990
	StatusInitiator <StsInitr>	[0..1]	±		2991
Or}	IndividualCancellationStatusReport <IndvCx/StsRpt>	[1..*]			2991
	MasterReference <MstrRef>	[0..1]	Text		2991
	OrderReference <OrdRef>	[1..1]	Text		2992
	ClientReference <CIntRef>	[0..1]	Text		2992
	CancellationReference <Cx/Ref>	[0..1]	Text		2992
	CancellationStatus <Cx/Sts>	[1..1]	±		2992
	StatusInitiator <StsInitr>	[0..1]	±		2992
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	2992
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	2993

60.4.4 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C3 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

61 MX setr.018.001.04 RequestForOrderStatusReportV04

61.1 MessageDefinition Functionality

Scope

The RequestForOrderStatusReport message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the status of one or more order instructions or order cancellation requests.

Usage

The RequestForOrderStatusReport message is used to request the status of:

- one or several individual order instructions, or,
- one or several order messages, or
- one or several individual order cancellation requests, or,
- one or several order cancellation request messages.

The response to a RequestForOrderStatusReport message is the OrderInstructionStatusReport message or OrderCancellationStatusReport message.

If the RequestForOrderStatusReport message is used to request the status of several individual order instructions or one or more order instruction messages, then the instructing party may receive several OrderInstructionStatusReport messages from the executing party.

If the RequestForOrderStatusReport message is used to request the status of several individual order cancellation requests or one or more order cancellation messages, then the instructing party may receive several OrderCancellationStatusReport messages from the executing party.

When the RequestForOrderStatusReport is used to request the status of one or more individual orders or order cancellations, each individual order is identified with its order reference. The investment account and/or financial instrument related to the order can also be identified. The message identification of the message in which the individual order was conveyed may also be quoted in PreviousReference.

When the RequestForOrderStatusReport is used to request the status of an order message or an order cancellations request message, then the message identification of the order or cancellation message is identified in PreviousReference.

The RequestForOrderStatusReport message may not be used to request the status of an investment account, a transfer or the status of a financial instrument.

Outline

The RequestForOrderStatusReportV04 MessageDefinition is composed of 3 MessageBuildingBlocks:

- A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. RequestDetails

Information to identify the order(s) for which the status is requested.

C. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

61.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ReqForOrdrStsRpt>	[1..1]		C6, C7	
	MessageIdentification <MsgId>	[1..1]	±		1412
	RequestDetails <ReqDtls>	[1..*]		C8	1413
	Reference <Ref>	[0..1]	±		1413
	RelatedReference <RltdRef>	[0..1]	±		1414
	OrderReference <OrdrRef>	[0..*]			1414
	MasterReference <MstrRef>	[0..1]	Text		1414
	OrderReference <OrdrRef>	[1..1]	Text		1415
	ClientReference <ClntRef>	[0..1]	Text		1415
	CancellationReference <CxlRef>	[0..1]	Text		1415
	DealReference <DealRef>	[0..1]	Text		1415
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C5	1415
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	1416
	Extension <Xtnsn>	[0..*]	±	C3	1416

61.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C3 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C4 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C5 OrderOriginatorEligibility2Rule

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

C6 OtherReferenceGuideline

(Rule)

RequestDetails/Reference/OtherReference should be used to reference an order instruction or cancellation 'message' sent in a proprietary way or used for a system reference. If RequestDetails/Reference/OtherReference is present, RequestDetails/Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

This constraint is defined at the MessageDefinition level.

C7 PreviousReferenceGuideline

(Rule)

If RequestDetails/Reference/PreviousReference/MessageName is present, it must contain 502 or must start with setr.001, setr.002, setr.004, setr.005, setr.007, setr.008, setr.010, setr.011, setr.013 or setr.014 and RequestDetails/Reference/PreviousReference/Reference must contain the reference of a message in this list.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

This constraint is defined at the MessageDefinition level.

C8 ReferenceElementRule

(Rule)

One of the elements (Reference, RelatedReference, OrderReference) must be present.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

C9 SeriesElementRule

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

61.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

61.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

61.4.2 RequestDetails <ReqDtls>

Presence: [1..*]

Definition: Information to identify the order(s) for which the status is requested.

Impacted by: [C8 ReferenceElementRule](#)

RequestDetails <ReqDtls> contains the following **MessageAndBusinessReference10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	±		1413
	RelatedReference <RltdRef>	[0..1]	±		1414
	OrderReference <OrdrRef>	[0..*]			1414
	MasterReference <MstrRef>	[0..1]	Text		1414
	OrderReference <OrdrRef>	[1..1]	Text		1415
	ClientReference <ClntRef>	[0..1]	Text		1415
	CancellationReference <CxlRef>	[0..1]	Text		1415
	DealReference <DealRef>	[0..1]	Text		1415
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C5	1415
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	1416

Constraints

- **ReferenceElementRule**

(Rule)

One of the elements (Reference, RelatedReference, OrderReference) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

61.4.2.1 Reference <Ref>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

Reference <Ref> contains one of the following elements (see [References62Choice](#) on page 2003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..2]	±		2003
Or}	OtherReference <OthrRef>	[1..2]	±		2003

61.4.2.2 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

61.4.2.3 OrderReference <OrdrRef>

Presence: [0..*]

Definition: Unique and unambiguous identifiers of one or more individual order instructions or individual order cancellation requests.

OrderReference <OrdrRef> contains the following **InvestmentFundOrder8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		1414
	OrderReference <OrdrRef>	[1..1]	Text		1415
	ClientReference <ClntRef>	[0..1]	Text		1415
	CancellationReference <CxlRef>	[0..1]	Text		1415
	DealReference <DealRef>	[0..1]	Text		1415
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C5	1415
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	1416

61.4.2.3.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text](#) on page 3409

61.4.2.3.2 OrderReference <OrdRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

61.4.2.3.3 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

61.4.2.3.4 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

61.4.2.3.5 DealReference <DealRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

Datatype: [Max35Text on page 3409](#)

61.4.2.3.6 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the individual order instruction or individual order cancellation request for which the status is requested.

Impacted by: [C5 OrderOriginatorEligibility2Rule](#)

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58 on page 2149](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

61.4.2.3.7 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..1]

Definition: Financial instrument information of the individual order or individual order cancellation request for which the status is requested.

Impacted by: [C4 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57](#) on page 1894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

61.4.3 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C3 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

62 MX setr.047.001.02 SubscriptionOrderConfirmationCancellationInstructionV02

62.1 MessageDefinition Functionality

Scope

The SubscriptionOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SubscriptionOrderConfirmation.

Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original SubscriptionOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the SubscriptionOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the subscription order confirmation cancellation is to be followed by an amendment. An amendment of a subscription order confirmation is carried out by sending a SubscriptionOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

Outline

The SubscriptionOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. RelatedReference
Reference to a linked MX message that was previously received.
- E. AmendmentIndicator
Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.
- F. MasterReference
Reference assigned to a set of orders or trades in order to link them together.
- G. OrderReferences
Identification of the individual order confirmation to be cancelled.
- H. CopyDetails

Information provided when the message is a copy of a previous message.

62.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptOrdrConfCxlInstr>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		1420
	PoolReference <PoolRef>	[0..1]	±		1420
	PreviousReference <PrvsRef>	[0..*]	±		1420
	RelatedReference <RltdRef>	[0..1]	±		1421
	AmendmentIndicator <AmdmntInd>	[1..1]	Indicator		1421
	MasterReference <MstrRef>	[0..1]	Text		1421
	OrderReferences <OrdrRefs>	[1..*]			1421
	OrderReference <OrdrRef>	[1..1]	Text		1422
	ClientReference <ClntRef>	[0..1]	Text		1422
	DealReference <DealRef>	[0..1]	Text		1422
	CancellationReference <CxlRef>	[0..1]	Text		1422
	CancellationReason <CxlRsn>	[0..1]	±		1422
	CopyDetails <CpyDtls>	[0..1]	±		1423

62.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

62.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

62.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

62.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

62.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8 on page 2004](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

62.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference8 on page 2004](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

62.4.5 AmendmentIndicator <AmdmntInd>

Presence: [1..1]

Definition: Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

62.4.6 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text on page 3409](#)

62.4.7 OrderReferences <OrdRefs>

Presence: [1..*]

Definition: Identification of the individual order confirmation to be cancelled.

OrderReferences <OrdrRefs> contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		1422
	ClientReference <ClntRef>	[0..1]	Text		1422
	DealReference <DealRef>	[0..1]	Text		1422
	CancellationReference <CxlRef>	[0..1]	Text		1422
	CancellationReason <CxlRsn>	[0..1]	±		1422

62.4.7.1 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: Max35Text on page 3409

62.4.7.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: Max35Text on page 3409

62.4.7.3 DealReference <DealRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

Datatype: Max35Text on page 3409

62.4.7.4 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.

Datatype: Max35Text on page 3409

62.4.7.5 CancellationReason <CxlRsn>

Presence: [0..1]

Definition: Reason for the cancellation of the confirmation.

CancellationReason <CxIRsn> contains one of the following elements (see [CancellationReason31Choice](#) on page 3017 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3017
Or}	Proprietary <Prtry>	[1..1]	±		3019

62.4.8 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnIRcvr>	[0..1]	IdentifierSet	C7	2395

63 MX setr.049.001.02 SubscriptionBulkOrderConfirmationCancellationInstructionV02

63.1 MessageDefinition Functionality

Scope

The SubscriptionBulkOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SubscriptionBulkOrderConfirmation.

Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original SubscriptionBulkOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the SubscriptionBulkOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the subscription bulk order confirmation cancellation is to be followed by an amendment. An amendment of a subscription bulk order confirmation is carried out by sending a SubscriptionBulkOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

Outline

The SubscriptionBulkOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. RelatedReference
Reference to a linked message that was previously received.
- E. AmendmentIndicator
Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.
- F. MasterReference
Reference assigned to a set of orders or trades in order to link them together.
- G. OrderReferences
Identification of the individual order confirmation to be cancelled.

H. CopyDetails

Message is a copy.

63.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptBlkOrdrConfCxlInstr>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		1426
	PoolReference <PoolRef>	[0..1]	±		1426
	PreviousReference <PrvsRef>	[0..*]	±		1426
	RelatedReference <RltdRef>	[0..1]	±		1427
	AmendmentIndicator <AmdmntInd>	[1..1]	Indicator		1427
	MasterReference <MstrRef>	[0..1]	Text		1427
	OrderReferences <OrdrRefs>	[1..*]			1427
	OrderReference <OrdrRef>	[1..1]	Text		1428
	ClientReference <ClntRef>	[0..1]	Text		1428
	DealReference <DealRef>	[0..1]	Text		1428
	CancellationReference <CxlRef>	[0..1]	Text		1428
	CancellationReason <CxlRsn>	[0..1]	±		1428
	CopyDetails <CpyDtls>	[0..1]	±		1429

63.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- Error severity: Fatal
- Error Code: D00008
- Error Text: Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

63.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

63.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

63.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

63.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

63.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

63.4.5 AmendmentIndicator <AmdmntInd>

Presence: [1..1]

Definition: Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

63.4.6 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text](#) on page 3409

63.4.7 OrderReferences <OrdRefs>

Presence: [1..*]

Definition: Identification of the individual order confirmation to be cancelled.

OrderReferences <OrdrRefs> contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		1428
	ClientReference <ClntRef>	[0..1]	Text		1428
	DealReference <DealRef>	[0..1]	Text		1428
	CancellationReference <CxlRef>	[0..1]	Text		1428
	CancellationReason <CxIRsn>	[0..1]	±		1428

63.4.7.1 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: Max35Text on page 3409

63.4.7.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: Max35Text on page 3409

63.4.7.3 DealReference <DealRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

Datatype: Max35Text on page 3409

63.4.7.4 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.

Datatype: Max35Text on page 3409

63.4.7.5 CancellationReason <CxIRsn>

Presence: [0..1]

Definition: Reason for the cancellation of the confirmation.

CancellationReason <CxIRsn> contains one of the following elements (see [CancellationReason31Choice on page 3017](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3017
Or}	Proprietary <Prtry>	[1..1]	±		3019

63.4.8 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Message is a copy.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4 on page 2395](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnIRcvr>	[0..1]	IdentifierSet	C7	2395

64 MX setr.051.001.02 RedemptionOrderConfirmationCancellationInstructionV02

64.1 MessageDefinition Functionality

Scope

The RedemptionOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent RedemptionOrderConfirmation.

Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original RedemptionOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the RedemptionOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the redemption order confirmation cancellation is to be followed by an amendment. An amendment of a redemption order confirmation is carried out by sending a RedemptionOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

Outline

The RedemptionOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. RelatedReference
Reference to a linked MX message that was previously received.
- E. AmendmentIndicator
Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.
- F. MasterReference
Reference assigned to a set of orders or trades in order to link them together.
- G. OrderReferences
Identification of the individual order confirmation to be cancelled.
- H. CopyDetails

Information provided when the message is a copy of a previous message.

64.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedOrdrConfCxlInstr>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		1432
	PoolReference <PoolRef>	[0..1]	±		1432
	PreviousReference <PrvsRef>	[0..*]	±		1432
	RelatedReference <RltdRef>	[0..1]	±		1433
	AmendmentIndicator <AmdmntInd>	[1..1]	Indicator		1433
	MasterReference <MstrRef>	[0..1]	Text		1433
	OrderReferences <OrdrRefs>	[1..*]			1433
	OrderReference <OrdrRef>	[1..1]	Text		1434
	ClientReference <ClntRef>	[0..1]	Text		1434
	DealReference <DealRef>	[0..1]	Text		1434
	CancellationReference <CxlRef>	[0..1]	Text		1434
	CancellationReason <CxlRsn>	[0..1]	±		1434
	CopyDetails <CpyDtls>	[0..1]	±		1435

64.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

64.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

64.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

64.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

64.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

64.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

64.4.5 AmendmentIndicator <AmdmntInd>

Presence: [1..1]

Definition: Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

64.4.6 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text](#) on page 3409

64.4.7 OrderReferences <OrdRefs>

Presence: [1..*]

Definition: Identification of the individual order confirmation to be cancelled.

OrderReferences <OrdrRefs> contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		1434
	ClientReference <ClntRef>	[0..1]	Text		1434
	DealReference <DealRef>	[0..1]	Text		1434
	CancellationReference <CxlRef>	[0..1]	Text		1434
	CancellationReason <CxlRsn>	[0..1]	±		1434

64.4.7.1 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: Max35Text on page 3409

64.4.7.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: Max35Text on page 3409

64.4.7.3 DealReference <DealRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

Datatype: Max35Text on page 3409

64.4.7.4 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.

Datatype: Max35Text on page 3409

64.4.7.5 CancellationReason <CxlRsn>

Presence: [0..1]

Definition: Reason for the cancellation of the confirmation.

CancellationReason <CxIRsn> contains one of the following elements (see [CancellationReason31Choice](#) on page 3017 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3017
Or}	Proprietary <Prtry>	[1..1]	±		3019

64.4.8 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnRcvr>	[0..1]	IdentifierSet	C7	2395

65 MX setr.053.001.02 RedemptionBulkOrderConfirmationCancellationInstructionV02

65.1 MessageDefinition Functionality

Scope

The RedemptionBulkOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent RedemptionBulkOrderConfirmation.

Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original RedemptionBulkOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the RedemptionBulkOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the redemption order confirmation cancellation is to be followed by an amendment. An amendment of a redemption order confirmation is carried out by sending a RedemptionBulkOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

Outline

The RedemptionBulkOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. RelatedReference
Reference to a linked message that was previously received.
- E. AmendmentIndicator
Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.
- F. MasterReference
Reference assigned to a set of orders or trades in order to link them together.
- G. OrderReferences
Identification of the individual order confirmation to be cancelled.

H. CopyDetails

Information provided when the message is a copy of a previous message.

65.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedBlkOrdrConfCxlInstr>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		1438
	PoolReference <PoolRef>	[0..1]	±		1438
	PreviousReference <PrvsRef>	[0..*]	±		1438
	RelatedReference <RltdRef>	[0..1]	±		1439
	AmendmentIndicator <AmdmntInd>	[1..1]	Indicator		1439
	MasterReference <MstrRef>	[0..1]	Text		1439
	OrderReferences <OrdrRefs>	[1..*]			1439
	OrderReference <OrdrRef>	[1..1]	Text		1440
	ClientReference <ClntRef>	[0..1]	Text		1440
	DealReference <DealRef>	[0..1]	Text		1440
	CancellationReference <CxlRef>	[0..1]	Text		1440
	CancellationReason <CxlRsn>	[0..1]	±		1440
	CopyDetails <CpyDtls>	[0..1]	±		1441

65.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

65.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

65.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

65.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

65.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

65.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

65.4.5 AmendmentIndicator <AmdmntInd>

Presence: [1..1]

Definition: Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

65.4.6 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text](#) on page 3409

65.4.7 OrderReferences <OrdRefs>

Presence: [1..*]

Definition: Identification of the individual order confirmation to be cancelled.

OrderReferences <OrdrRefs> contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		1440
	ClientReference <ClntRef>	[0..1]	Text		1440
	DealReference <DealRef>	[0..1]	Text		1440
	CancellationReference <CxlRef>	[0..1]	Text		1440
	CancellationReason <CxIRsn>	[0..1]	±		1440

65.4.7.1 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: Max35Text on page 3409

65.4.7.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: Max35Text on page 3409

65.4.7.3 DealReference <DealRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

Datatype: Max35Text on page 3409

65.4.7.4 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.

Datatype: Max35Text on page 3409

65.4.7.5 CancellationReason <CxIRsn>

Presence: [0..1]

Definition: Reason for the cancellation of the confirmation.

CancellationReason <CxIRsn> contains one of the following elements (see [CancellationReason31Choice](#) on page 3017 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3017
Or}	Proprietary <Prtry>	[1..1]	±		3019

65.4.8 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnIRcvr>	[0..1]	IdentifierSet	C7	2395

66 MX setr.055.001.02 SwitchOrderConfirmationCancellationInstructionV02

66.1 MessageDefinition Functionality

Scope

The SwitchOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SwitchOrderConfirmation.

Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original SwitchOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the SwitchOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the switch order confirmation cancellation is to be followed by an amendment. An amendment of a switch order confirmation is carried out by sending a SwitchOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

Outline

The SwitchOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference
Reference to a linked message that was previously sent.
- D. RelatedReference
Reference to a linked MX message that was previously received.
- E. AmendmentIndicator
Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.
- F. MasterReference
Reference assigned to a set of orders or trades in order to link them together.
- G. OrderReferences
Identification of the individual order confirmation to be cancelled.
- H. CopyDetails

Information provided when the message is a copy of a previous message.

66.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SwchOrdConfCxlInstr>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		1444
	PoolReference <PoolRef>	[0..1]	±		1444
	PreviousReference <PrvsRef>	[0..*]	±		1444
	RelatedReference <RltdRef>	[0..1]	±		1445
	AmendmentIndicator <AmdmntInd>	[1..1]	Indicator		1445
	MasterReference <MstrRef>	[0..1]	Text		1445
	OrderReferences <OrdRefs>	[1..*]			1445
	OrderReference <OrdRef>	[1..1]	Text		1446
	ClientReference <ClntRef>	[0..1]	Text		1446
	DealReference <DealRef>	[0..1]	Text		1446
	CancellationReference <CxlRef>	[0..1]	Text		1446
	CancellationReason <CxlRsn>	[0..1]	±		1446
	CopyDetails <CpyDtls>	[0..1]	±		1447

66.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

66.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

66.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

66.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference9](#) on page 2005 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

66.4.3 PreviousReference <PrvsRef>

Presence: [0..*]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8 on page 2004](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

66.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference8 on page 2004](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

66.4.5 AmendmentIndicator <AmdmntInd>

Presence: [1..1]

Definition: Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

66.4.6 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text on page 3409](#)

66.4.7 OrderReferences <OrdRefs>

Presence: [1..*]

Definition: Identification of the individual order confirmation to be cancelled.

OrderReferences <OrdrRefs> contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdrRef>	[1..1]	Text		1446
	ClientReference <ClntRef>	[0..1]	Text		1446
	DealReference <DealRef>	[0..1]	Text		1446
	CancellationReference <CxlRef>	[0..1]	Text		1446
	CancellationReason <CxlRsn>	[0..1]	±		1446

66.4.7.1 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: Max35Text on page 3409

66.4.7.2 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: Max35Text on page 3409

66.4.7.3 DealReference <DealRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

Datatype: Max35Text on page 3409

66.4.7.4 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.

Datatype: Max35Text on page 3409

66.4.7.5 CancellationReason <CxlRsn>

Presence: [0..1]

Definition: Reason for the cancellation of the confirmation.

CancellationReason <CxIRsn> contains one of the following elements (see [CancellationReason31Choice](#) on page 3017 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3017
Or}	Proprietary <Prtry>	[1..1]	±		3019

66.4.8 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation4](#) on page 2395 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnRcvr>	[0..1]	IdentifierSet	C7	2395

67 **MX setr.057.001.02**

OrderConfirmationStatusReportV02

67.1 **MessageDefinition Functionality**

Scope

The OrderConfirmationStatusReport message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to report the status of an order confirmation or an order confirmation amendment.

Usage

The OrderConfirmationStatusReport message is used to report on the status of one or more individual:

- subscription confirmations,
- subscription confirmation amendments,
- redemption confirmations,
- redemption confirmation amendments,
- switch order confirmations,
- switch order confirmation amendments.

One of the following statuses can be reported:

- confirmation rejected, or,
- amendment rejected, or,
- sent to next party, or,
- communication problem with next party, or,
- confirmation accepted, or,
- confirmation received.

It is likely that the OrderConfirmationStatusReport is only sent by the order instructing party to the order executing party to reject an order confirmation or to reject an order confirmation amendment, although if an intermediary party is used, the statuses sent to next party and communication problem with next party are also likely be used. The statuses confirmation accepted and confirmation received would only be used in the event the order executing party sends a RequestForOrderConfirmationStatusReport message and one of the other statuses does not apply.

If the status being reported is either confirmation rejected or amendment rejected, then a reason for the rejection must be given.

The individual order confirmation or confirmation amendment for which the status is given is identified with its order reference. The message identification of the message in which the individual order

confirmation or confirmation amendment was conveyed may also be quoted in RelatedReference, but this is not recommended.

Outline

The OrderConfirmationStatusReportV02 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. Reference

Reference to the message or communication that was previously received.

C. IndividualOrderConfirmationDetailsReport

Status report details of an individual order confirmation.

D. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

67.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <OrdrConfStsRpt>	[1..1]		C5, C7	
	MessageIdentification <MsgId>	[1..1]	±		1451
	Reference <Ref>	[0..1]	±		1452
	IndividualOrderConfirmationDetailsReport <IndvOrdrConfDtlsRpt>	[1..*]			1452
	MasterReference <MstrRef>	[0..1]	Text		1453
	OrderReference <OrdrRef>	[1..1]	Text		1453
	Confirmation <Conf>	[1..1]			1453
{Or	ConfirmationRejected <ConfRjctd>	[1..10]	±	C8	1453
Or	AmendmentRejected <AmdmntRjctd>	[1..10]	±	C8	1454
Or}	Status <Sts>	[1..1]	CodeSet		1454
	ClientReference <ClntRef>	[0..1]	Text		1455
	DealReference <DealRef>	[0..1]	Text		1455
	StatusInitiator <StsInitr>	[0..1]	±		1455
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C6	1455
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	1456
	Extension <Xtnsn>	[0..*]	±	C3	1457

67.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C3 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C4 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C5 MessageNameAndReferenceGuideline

(Rule)

If Reference/RelatedReference/MessageName or Reference/OtherReference/MessageName is present, it must contain 502 or must start with setr.047, setr.049, setr.051, setr.053, setr.055, setr.058 and Reference/RelatedReference/Reference must contain the message reference of a message in this list.

This constraint is defined at the MessageDefinition level.

C6 OrderOriginatorEligibility2Rule

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

C7 OtherReferenceGuideline

(Rule)

OtherReference should be used to reference an order confirmation cancellation 'message' sent in a proprietary way or used for a system reference. If OtherReference is present, OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

This constraint is defined at the MessageDefinition level.

C8 ReasonElementRule

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C9 SeriesElementRule

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

67.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

67.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

67.4.2 Reference <Ref>

Presence: [0..1]

Definition: Reference to the message or communication that was previously received.

Reference <Ref> contains one of the following elements (see [References61Choice on page 2003](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		2004
Or}	OtherReference <OthrRef>	[1..2]	±		2004

67.4.3 IndividualOrderConfirmationDetailsReport <IndvOrdrConfDtlsRpt>

Presence: [1..*]

Definition: Status report details of an individual order confirmation.

IndividualOrderConfirmationDetailsReport <IndvOrdrConfDtlsRpt> contains the following **IndividualOrderConfirmationStatusAndReason2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		1453
	OrderReference <OrdrRef>	[1..1]	Text		1453
	Confirmation <Conf>	[1..1]			1453
{Or	ConfirmationRejected <ConfRjctd>	[1..10]	±	C8	1453
Or	AmendmentRejected <AmdmntRjctd>	[1..10]	±	C8	1454
Or}	Status <Sts>	[1..1]	CodeSet		1454
	ClientReference <ClntRef>	[0..1]	Text		1455
	DealReference <DealRef>	[0..1]	Text		1455
	StatusInitiator <StsInitr>	[0..1]	±		1455
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C6	1455
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	1456

67.4.3.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text on page 3409](#)

67.4.3.2 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

67.4.3.3 Confirmation <Conf>

Presence: [1..1]

Definition: Status of the order confirmation cancellation.

Confirmation <Conf> contains one of the following **ConfirmationStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ConfirmationRejected <ConfRjctd>	[1..10]	±	C8	1453
Or	AmendmentRejected <AmdmntRjctd>	[1..10]	±	C8	1454
Or}	Status <Sts>	[1..1]	CodeSet		1454

67.4.3.3.1 ConfirmationRejected <ConfRjctd>

Presence: [1..10]

Definition: Status of the order confirmation is rejected.

Impacted by: [C8 ReasonElementRule](#)

ConfirmationRejected <ConfRjctd> contains the following elements (see [ConfirmationRejectedStatus2 on page 3019](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			3019
{Or	Code <Cd>	[1..1]	CodeSet		3020
Or}	Proprietary <Prtry>	[1..1]	±		3022
	AdditionalInformation <AddtlInf>	[0..1]	Text		3022

Constraints

- **ReasonElementRule**

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

67.4.3.3.2 AmendmentRejected <AmdmntRjctd>

Presence: [1..10]

Definition: Status of the order confirmation amendment is rejected.

Impacted by: C8 ReasonElementRule

AmendmentRejected <AmdmntRjctd> contains the following elements (see ConfirmationRejectedStatus2 on page 3019 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			3019
{Or	Code <Cd>	[1..1]	CodeSet		3020
Or}	Proprietary <Prtry>	[1..1]	±		3022
	AdditionalInformation <AddtlInf>	[0..1]	Text		3022

Constraints

- **ReasonElementRule**

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

67.4.3.3.3 Status <Sts>

Presence: [1..1]

Definition: Status of the order confirmation is accepted or received or sent to next party or there is a communication problem with next party. There is no reason attached.

Datatype: OrderConfirmationStatus1Code on page 3317

CodeName	Name	Definition
STNP	SentToNextParty	Order confirmation or order confirmation cancellation instruction or order confirmation amendment has been sent to the next party, eg, the next intermediary.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.

CodeName	Name	Definition
COAC	ConfirmationAccepted	Order confirmation or order confirmation amendment is accepted.
CREC	ConfirmationReceived	Order confirmation or order confirmation amendment is received, ie, technical validation of the message is ok, and the message is now at the receiving side.

67.4.3.4 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

67.4.3.5 DealReference <DealRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

Datatype: [Max35Text on page 3409](#)

67.4.3.6 StatusInitiator <StsInitr>

Presence: [0..1]

Definition: Party that initiates the status of the order confirmation.

StatusInitiator <StsInitr> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

67.4.3.7 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the individual order confirmation for which the status is given.

Impacted by: [C6 OrderOriginatorEligibility2Rule](#)

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58](#) on page 2149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

67.4.3.8 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..1]

Definition: Financial instrument information of the individual order confirmation for which the status is given.

Impacted by: [C4 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57](#) on page 1894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

67.4.4 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C3 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

68 MX setr.058.001.02 RequestForOrderConfirmationStatusReportV 02

68.1 MessageDefinition Functionality

Scope

The RequestForOrderConfirmationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to request the status of one or more order confirmations.

Usage

The RequestForOrderConfirmationStatusReport message is used to request the status of either:

- one or several individual order confirmations, or,
- one or several order confirmation messages.

The response to a RequestForOrderConfirmationStatusReport message is the OrderConfirmationStatusReport message.

When the RequestForOrderConfirmationStatusReport message is used to request the status of several individual order confirmations or one or more order confirmation messages, the executing party may receive several OrderConfirmationStatusReport messages from the instructing party.

When the RequestForOrderConfirmationStatusReport is used to request the status of one or more individual order confirmations, each individual order confirmation is identified with its order reference. The message identification of the message in which the individual order confirmation was conveyed may also be quoted in PreviousReference.

When the RequestForOrderConfirmationStatusReport is used to request the status of an order confirmation message, then the message identification of the order confirmation message is identified in PreviousReference.

Outline

The RequestForOrderConfirmationStatusReportV02 MessageDefinition is composed of 3 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. RequestDetails

Information to identify the order confirmation for which the status is requested.

C. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

68.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ReqForOrdrConfStsRpt>	[1..1]		C6, C7	
	MessageIdentification <MsgId>	[1..1]	±		1462
	RequestDetails <ReqDtls>	[1..*]		C8	1462
	Reference <Ref>	[0..1]	±		1463
	RelatedReference <RltdRef>	[0..1]	±		1463
	OrderReference <OrdrRef>	[0..*]			1464
	MasterReference <MstrRef>	[0..1]	Text		1464
	OrderReference <OrdrRef>	[1..1]	Text		1464
	ClientReference <ClntRef>	[0..1]	Text		1464
	CancellationReference <CxlRef>	[0..1]	Text		1465
	DealReference <DealRef>	[0..1]	Text		1465
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C5	1465
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	1465
	Extension <Xtnsn>	[0..*]	±	C3	1466

68.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C2 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C3 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C4 IdentificationGuideline

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C5 OrderOriginatorEligibility2Rule

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

C6 OtherReferenceGuideline

(Rule)

RequestDetails/Reference/OtherReference should be used to reference an order instruction or cancellation 'message' sent in a proprietary way or used for a system reference. If RequestDetails/Reference/OtherReference is present, RequestDetails/Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

This constraint is defined at the MessageDefinition level.

C7 PreviousReferenceGuideline

(Rule)

If RequestDetails/Reference/PreviousReference/MessageName is present, it must contain 502 or must start with setr.047, setr.049, setr.051, setr.053, or setr.055 and RequestDetails/Reference/PreviousReference/Reference must contain the reference of a message in this list.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

This constraint is defined at the MessageDefinition level.

C8 ReferenceElementRule

(Rule)

One of the elements (Reference, RelatedReference, OrderReference) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

C9 SeriesElementRule

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

68.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

68.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies the message from a business application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

68.4.2 RequestDetails <ReqDtls>

Presence: [1..*]

Definition: Information to identify the order confirmation for which the status is requested.

Impacted by: [C8 ReferenceElementRule](#)

RequestDetails <ReqDtls> contains the following **MessageAndBusinessReference10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	±		1463
	RelatedReference <RltdRef>	[0..1]	±		1463
	OrderReference <OrdrRef>	[0..*]			1464
	MasterReference <MstrRef>	[0..1]	Text		1464
	OrderReference <OrdrRef>	[1..1]	Text		1464
	ClientReference <ClntRef>	[0..1]	Text		1464
	CancellationReference <CxlRef>	[0..1]	Text		1465
	DealReference <DealRef>	[0..1]	Text		1465
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C5	1465
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	1465

Constraints

- **ReferenceElementRule**

(Rule)

One of the elements (Reference, RelatedReference, OrderReference) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

68.4.2.1 Reference <Ref>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

Reference <Ref> contains one of the following elements (see [References62Choice](#) on page 2003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..2]	±		2003
Or}	OtherReference <OthrRef>	[1..2]	±		2003

68.4.2.2 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference8](#) on page 2004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

68.4.2.3 OrderReference <OrdrRef>

Presence: [0..*]

Definition: Unique and unambiguous identifiers of one or more individual order instructions or individual order cancellation requests.

OrderReference <OrdrRef> contains the following **InvestmentFundOrder8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		1464
	OrderReference <OrdrRef>	[1..1]	Text		1464
	ClientReference <ClntRef>	[0..1]	Text		1464
	CancellationReference <CxlRef>	[0..1]	Text		1465
	DealReference <DealRef>	[0..1]	Text		1465
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C5	1465
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	1465

68.4.2.3.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text](#) on page 3409

68.4.2.3.2 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text](#) on page 3409

68.4.2.3.3 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text](#) on page 3409

68.4.2.3.4 CancellationReference <CxIRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

68.4.2.3.5 DealReference <DealRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

Datatype: [Max35Text on page 3409](#)

68.4.2.3.6 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the individual order instruction or individual order cancellation request for which the status is requested.

Impacted by: [C5 OrderOriginatorEligibility2Rule](#)

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58 on page 2149](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

68.4.2.3.7 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..1]

Definition: Financial instrument information of the individual order or individual order cancellation request for which the status is requested.

Impacted by: [C4 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57](#) on page 1894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

68.4.3 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C3 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

69 **MX setr.059.001.01**

AlternativeFundsSubscriptionOrderV01

69.1 **MessageDefinition Functionality**

Scope

An instructing party, for example, an investment manager, custodian or its authorised representative, sends the AlternativeFundsSubscriptionOrder message to the executing party, for example, a transfer agent or administrator, to instruct the subscription of a financial instrument for one investment fund account.

There may be one or more parties between the instructing party and the executing party.

Usage

The AlternativeFundsSubscriptionOrder message is sent by the instructing party to the executing party to instruct a single subscription order, that is, a message containing one order for one financial instrument and related to one investment account.

Outline

The AlternativeFundsSubscriptionOrderV01 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies a message from a technical application standpoint.

B. PreviousReference

Reference to a linked message that was previously sent.

C. OrderDetails

Information related to the order.

D. CopyDetails

Information provided when the message is a copy of a previous message.

E. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

69.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AltrntvFndsSbcptOrdr>	[1..1]			
	MessageIdentification <Msgld>	[1..1]	±		1471
	PreviousReference <PrvsRef>	[0..1]	±		1472
	OrderDetails <OrdrDtls>	[1..1]		C9, C11, C12	1472
	MasterReference <MstrRef>	[0..1]	Text		1474
	OrderReference <OrdrRef>	[1..1]	Text		1474
	ClientReference <ClntRef>	[0..1]	Text		1474
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1474
	HedgeFundOrderType <HdgFndOrdrTp>	[0..*]	CodeSet		1474
	InitialOrderIndicator <InitlOrdrInd>	[0..1]	Indicator		1474
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±		1475
	BeneficiaryDetails <BnfcryDtls>	[1..1]	±	C6	1475
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C10, C8	1476
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±		1477
	SidePocketDetails <SdPcktDtls>	[0..1]	±		1477
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±		1477
	ChargeDetails <ChrgDtls>	[0..*]	±		1478
	TaxDetails <TaxDtls>	[0..*]	±		1478
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1479
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C1	1479
	PaymentReference <PmtRef>	[0..1]	Text		1480
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±		1480
	CopyDetails <CpyDtls>	[0..1]	±		1480
	Extension <Xtnsn>	[0..*]	±	C7	1480

69.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C3 BIC

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid BIC Code

C4 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C5 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C6 ERISAEligibilityRule

(Rule)

If ERISAEligibility is ELIG, then ERISARate must be present.

C7 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C8 FinancialInstrumentIdentificationGuideline

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

C9 LimitedPartnershipRule

(Rule)

If HedgeFundOrderType is NUNI in any occurrence of HedgeFundOrderType, then OrderedAmount must be present.

C10 NameRule

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

C11 RequestedTradeDateRule

(Rule)

If RequestedTradeDate is not present, then the next available date is used.

C12 SidePocketOrderRule

(Rule)

If HedgeFundOrderType is SPOR in any occurrence of HedgeFundOrderType, then SidePocketDetails is not allowed.

69.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

69.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies a message from a technical application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

69.4.2 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference4](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

69.4.3 OrderDetails <OrdrDtls>

Presence: [1..1]

Definition: Information related to the order.

Impacted by: [C9 LimitedPartnershipRule](#), [C11 RequestedTradeDateRule](#), [C12 SidePocketOrderRule](#)

OrderDetails <OrdrDtls> contains the following **SubscriptionOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		1474
	OrderReference <OrdrRef>	[1..1]	Text		1474
	ClientReference <ClntRef>	[0..1]	Text		1474
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1474
	HedgeFundOrderType <HdgFndOrdrTp>	[0..*]	CodeSet		1474
	InitialOrderIndicator <InitlOrdrInd>	[0..1]	Indicator		1474
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±		1475
	BeneficiaryDetails <BnfcryDtls>	[1..1]	±	C6	1475
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C10, C8	1476
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±		1477
	SidePocketDetails <SdPcktDtls>	[0..1]	±		1477
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±		1477
	ChargeDetails <ChrgDtls>	[0..*]	±		1478
	TaxDetails <TaxDtls>	[0..*]	±		1478
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1479
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C1	1479
	PaymentReference <PmtRef>	[0..1]	Text		1480
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±		1480

Constraints

- **LimitedPartnershipRule**

(Rule)

If HedgeFundOrderType is NUNI in any occurrence of HedgeFundOrderType, then OrderedAmount must be present.

- **RequestedTradeDateRule**

(Rule)

If RequestedTradeDate is not present, then the next available date is used.

- **SidePocketOrderRule**

(Rule)

If HedgeFundOrderType is SPOR in any occurrence of HedgeFundOrderType, then SidePocketDetails is not allowed.

69.4.3.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text on page 3409](#)

69.4.3.2 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for an order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

69.4.3.3 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

69.4.3.4 RequestedTradeDate <ReqdTradDt>

Presence: [0..1]

Definition: Date on which the investor requests the order to be executed. This is also known as the deal date in hedge funds.

Datatype: [ISODate on page 3391](#)

69.4.3.5 HedgeFundOrderType <HdgFndOrdrTp>

Presence: [0..*]

Definition: Specifies the category of the investment fund order.

Datatype: [HedgeFundOrderType1Code on page 3288](#)

CodeName	Name	Definition
NUNI	NonUnitized	Investment fund order is for a limited partnership instrument.
SPCM	SidePocketComponent	Investment fund order contains a side pocket component.
BEDB	BedAndBreakfast	Investment fund order is part of a bed and breakfast transaction.
SPOR	SidePocketOrder	Investment fund order is a side pocket order.
UNIT	Unitized	Investment fund order is for a unitized instrument.
TOPU	TopUp	Investment fund order specifies a top up.

69.4.3.6 InitialOrderIndicator <InitlOrdrInd>

Presence: [0..1]

Definition: Indicates whether the subscription order is an initial order.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

69.4.3.7 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [1..1]

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30](#) on page 2152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

69.4.3.8 BeneficiaryDetails <BnfcryDtls>

Presence: [1..1]

Definition: Additional information about the beneficial owner.

Impacted by: [C6 ERISAEligibilityRule](#)

BeneficiaryDetails <BnfcryDtls> contains the following elements (see [BeneficiaryInformation1](#) on page 2773 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficiaryIdentification <BnfcryId>	[0..1]	±		2773
	ERISAEligibility <ERISAEIgbly>	[1..1]	CodeSet		2774
	ERISARate <ERISARate>	[0..1]	Rate		2774
	BenefitPlanDeclarationIndicator <BnftPlanDclrnInd>	[1..1]	Indicator		2774
	NoChangeToBeneficiaryDetailsIndicator <NoChngToBnfcryDtlsInd>	[1..1]	Indicator		2775

Constraints

- **ERISAEligibilityRule**

(Rule)

If ERISAEligibility is ELIG, then ERISARate must be present.

69.4.3.9 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class related to an order.

Impacted by: C10 NameRule, C8 FinancialInstrumentIdentificationGuideline

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see FinancialInstrument18 on page 1908 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <SctyId>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <OthrId>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueIdentificationDate <SrsIsseldDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <NewIsselnd>	[0..1]	Indicator		1911
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

69.4.3.10 FinancialInstrumentQuantity <FinInstrmQty>

Presence: [1..1]

Definition: Quantity of the order.

FinancialInstrumentQuantity <FinInstrmQty> contains one of the following elements (see [FinancialInstrumentQuantity9Choice](#) on page 1957 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1957
Or}	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C2, C10	1957

69.4.3.11 SidePocketDetails <SdPcktDtls>

Presence: [0..1]

Definition: Information related to the side pocket component of the investment fund order.

SidePocketDetails <SdPcktDtls> contains the following elements (see [SidePocketInformation1](#) on page 1901 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SidePocketInclusionIndicator <SdPcktInclsnInd>	[0..1]	Indicator		1901
	SidePocketIdentification <SdPcktId>	[0..1]	Text		1901
	SidePocketQuantity <SdPcktQty>	[0..1]			1901
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1902
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C2, C10	1902
Or}	HoldingsRate <HldgsRate>	[1..1]	Rate		1903

69.4.3.12 OrderWaiverDetails <OrdrWvrDtls>

Presence: [0..1]

Definition: Specifies information about a non-standard order.

OrderWaiverDetails <OrdrWvrDtls> contains the following elements (see [AdditionalInformation2](#) on page 1854 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			1855
{Or	Reason <Rsn>	[1..1]	CodeSet		1855
Or}	Proprietary <Prtry>	[1..1]	±		1855
	InformationValue <InfVal>	[0..1]	Text		1856

69.4.3.13 ChargeDetails <ChrgDtls>

Presence: [0..*]

Definition: Amount of money associated with a service.

ChargeDetails <ChrgDtls> contains the following elements (see [Charge21](#) on page 1796 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ChargeType <ChrgTp>	[1..1]			1796
{Or	Type <Tp>	[1..1]	CodeSet		1797
Or}	Proprietary <Prtry>	[1..1]	±		1798
	ChargeAmountOrRate <ChrgAmtOrRate>	[1..1]			1798
{Or	Amount <Amt>	[1..1]	Amount	C2	1798
Or}	Rate <Rate>	[1..1]	Rate		1799
	RecipientIdentification <Rcptld>	[0..1]	±		1799

69.4.3.14 TaxDetails <TaxDtls>

Presence: [0..*]

Definition: Amount of money due to the government or tax authority, according to various pre-defined parameters such as thresholds or income.

TaxDetails <TaxDtls> contains the following elements (see [Tax19 on page 3141](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[1..1]			3141
{Or	Type <Tp>	[1..1]	CodeSet		3142
Or}	Proprietary <Prtry>	[1..1]	±		3143
	Amount <Amt>	[1..1]	Amount	C2	3143
	Rate <Rate>	[0..1]	Rate		3144
	Country <Ctry>	[0..1]	CodeSet	C11	3144
	EUDividendStatusType <EUDvddStsTp>	[0..1]	±		3144
	EUCapitalGainType <EUCptlGnTp>	[0..1]			3145
{Or	EUCapitalGain <EUCptlGn>	[1..1]	CodeSet		3145
Or}	Proprietary <Prtry>	[1..1]	±		3145
	RecipientIdentification <Rcptld>	[0..1]	±		3145
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3146
	ExemptionReasonType <XmptnRsnTp>	[0..1]			3146
{Or	ExemptionReason <XmptnRsn>	[1..1]	CodeSet		3146
Or}	Proprietary <Prtry>	[1..1]	±		3149

69.4.3.15 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which the cash is available.

Datatype: [ISODate on page 3391](#)

69.4.3.16 RequestedSettlementCurrency <ReqdSttlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: [C1 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode on page 3246](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

69.4.3.17 PaymentReference <PmtRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a payment transaction, as assigned by the originator. The payment transaction reference is used for reconciliation or to link tasks relating to the payment transaction.

Datatype: Max35Text on page 3409

69.4.3.18 RelatedPartyDetails <RltdPtyDtls>

Presence: [0..10]

Definition: Information about parties related to the transaction.

RelatedPartyDetails <RltdPtyDtls> contains the following elements (see Intermediary16 on page 2648 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2648
	RoleType <RoleTp>	[0..1]			2648
{Or	Role <Role>	[1..1]	CodeSet		2648
Or}	Proprietary <Prtry>	[1..1]	±		2650
	Account <Acct>	[0..1]	±		2650
	CommunicationInformation <ComInf>	[0..1]	±		2650

69.4.4 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see CopyInformation2 on page 2358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2358
	OriginalReceiver <OrgnlRcvr>	[0..1]	±		2359

69.4.5 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: C7 ExtensionRule

Extension <Xtnsn> contains the following elements (see Extension1 on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

70 MX setr.060.001.01 AlternativeFundsRedemptionOrderV01

70.1 MessageDefinition Functionality

Scope

An instructing party, for example, an investment manager, custodian or its authorised representative, sends the AlternativeFundsRedemptionOrder message to the executing party, for example, a transfer agent or administrator, to instruct the redemption of a financial instrument for one investment fund account.

There may be one or more parties between the instructing party and the executing party.

Usage

The AlternativeFundsRedemptionOrder message is used to instruct single redemption orders, that is, a message containing one order for one financial instrument and related to one investment account.

Outline

The AlternativeFundsRedemptionOrderV01 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies a message from a technical application standpoint.

B. PreviousReference

Reference to a linked message that was previously sent.

C. OrderDetails

Information related to the order.

D. CopyDetails

Information provided when the message is a copy of a previous message.

E. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

70.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AltrntvFndsRedOrdr>	[1..1]			
	MessageIdentification <Msgld>	[1..1]	±		1485
	PreviousReference <PrvsRef>	[0..1]	±		1486
	OrderDetails <OrdrDtls>	[1..1]		C8, C10, C11	1486
	MasterReference <MstrRef>	[0..1]	Text		1488
	OrderReference <OrdrRef>	[1..1]	Text		1488
	ClientReference <ClntRef>	[0..1]	Text		1488
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1488
	HedgeFundOrderType <HdgFndOrdrTp>	[0..*]	CodeSet		1488
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±		1488
	BeneficiaryDetails <BnfcryDtls>	[0..1]	±		1489
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C9, C7	1489
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±		1490
	SidePocketDetails <SdPcktDtls>	[0..1]	±		1491
	LotDetails <LotDtls>	[0..*]	±		1491
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±		1491
	ChargeDetails <ChrgDtls>	[0..*]	±		1492
	TaxDetails <TaxDtls>	[0..*]	±		1492
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1493
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C1	1493
	PaymentReference <PmtRef>	[0..1]	Text		1494
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±		1494
	CopyDetails <CpyDtls>	[0..1]	±		1494
	Extension <Xtnsn>	[0..*]	±	C6	1494

70.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C3 BIC

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid BIC Code

C4 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C5 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C6 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C7 FinancialInstrumentIdentificationGuideline

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

C8 LimitedPartnershipRule

(Rule)

If HedgeFundOrderType is NUNI in any occurrence of HedgeFundOrderType, then OrderedAmount must be present.

C9 NameRule

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

C10 RequestedTradeDateRule

(Rule)

If RequestedTradeDate is not present, then the next available date is used.

C11 SidePocketOrderRule

(Rule)

If HedgeFundOrderType is SPOR in any occurrence of HedgeFundOrderType, then SidePocketDetails is not allowed.

70.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

70.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies a message from a technical application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

70.4.2 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference4](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

70.4.3 OrderDetails <OrdrDtls>

Presence: [1..1]

Definition: Information related to the order.

Impacted by: [C8 LimitedPartnershipRule](#), [C10 RequestedTradeDateRule](#), [C11 SidePocketOrderRule](#)

OrderDetails <OrdrDtls> contains the following **RedemptionOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		1488
	OrderReference <OrdrRef>	[1..1]	Text		1488
	ClientReference <ClntRef>	[0..1]	Text		1488
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1488
	HedgeFundOrderType <HdgFndOrdrTp>	[0..*]	CodeSet		1488
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±		1488
	BeneficiaryDetails <BnfcryDtls>	[0..1]	±		1489
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C9, C7	1489
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±		1490
	SidePocketDetails <SdPcktDtls>	[0..1]	±		1491
	LotDetails <LotDtls>	[0..*]	±		1491
	OrderWaiverDetails <OrdrWvrDtls>	[0..1]	±		1491
	ChargeDetails <ChrgDtls>	[0..*]	±		1492
	TaxDetails <TaxDtls>	[0..*]	±		1492
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1493
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C1	1493
	PaymentReference <PmtRef>	[0..1]	Text		1494
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±		1494

Constraints

- **LimitedPartnershipRule**

(Rule)

If HedgeFundOrderType is NUNI in any occurrence of HedgeFundOrderType, then OrderedAmount must be present.

- **RequestedTradeDateRule**

(Rule)

If RequestedTradeDate is not present, then the next available date is used.

- **SidePocketOrderRule**

(Rule)

If HedgeFundOrderType is SPOR in any occurrence of HedgeFundOrderType, then SidePocketDetails is not allowed.

70.4.3.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text on page 3409](#)

70.4.3.2 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for an order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

70.4.3.3 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

70.4.3.4 RequestedTradeDate <ReqdTradDt>

Presence: [0..1]

Definition: Date on which the investor requests the order to be executed. This is also known as the deal date in hedge funds.

Datatype: [ISODate on page 3391](#)

70.4.3.5 HedgeFundOrderType <HdgFndOrdrTp>

Presence: [0..*]

Definition: Specifies the category of the investment fund order.

Datatype: [HedgeFundOrderType1Code on page 3288](#)

CodeName	Name	Definition
NUNI	NonUnitized	Investment fund order is for a limited partnership instrument.
SPCM	SidePocketComponent	Investment fund order contains a side pocket component.
BEDB	BedAndBreakfast	Investment fund order is part of a bed and breakfast transaction.
SPOR	SidePocketOrder	Investment fund order is a side pocket order.
UNIT	Unitized	Investment fund order is for a unitized instrument.
TOPU	TopUp	Investment fund order specifies a top up.

70.4.3.6 InvestmentAccountDetails <InvstmtAcctDtIs>

Presence: [1..1]

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30](#) on page 2152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

70.4.3.7 BeneficiaryDetails <BnfcryDtls>

Presence: [0..1]

Definition: Additional information about the beneficial owner.

BeneficiaryDetails <BnfcryDtls> contains the following elements (see [IndividualPerson15](#) on page 2813 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2813
	BirthDate <BirthDt>	[0..1]	Date		2813
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2813
	OtherIdentification <OthrlId>	[0..1]			2813
	Identification <Id>	[1..1]	Text		2814
	Issuer <Issr>	[0..1]	Text		2814
	OtherIdentificationType <OthrlIdTp>	[0..1]			2814
{Or	IdentificationType <IdTp>	[1..1]	CodeSet		2814
Or}	Proprietary <Prtry>	[1..1]	±		2815
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2815

70.4.3.8 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class related to an order.

Impacted by: [C9 NameRule](#), [C7 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument18](#) on page 1908 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <SctyId>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <OthrId>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueIdentificationDate <SrsIsselDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <NewIsselnd>	[0..1]	Indicator		1911
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

70.4.3.9 FinancialInstrumentQuantity <FinInstrmQty>

Presence: [1..1]

Definition: Quantity of the order.

FinancialInstrumentQuantity <FinInstrmQty> contains one of the following elements (see [FinancialInstrumentQuantity10Choice](#) on page 1956 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1956
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C2, C10	1956
Or}	HoldingsRate <HldgsRate>	[1..1]	Rate		1957

70.4.3.10 SidePocketDetails <SdPcktDtIs>

Presence: [0..1]

Definition: Information related to the side pocket component of the investment fund order.

SidePocketDetails <SdPcktDtIs> contains the following elements (see [SidePocketInformation1](#) on page 1901 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SidePocketInclusionIndicator <SdPcktlInclsInd>	[0..1]	Indicator		1901
	SidePocketIdentification <SdPcktlId>	[0..1]	Text		1901
	SidePocketQuantity <SdPcktQty>	[0..1]			1901
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1902
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C2, C10	1902
Or}	HoldingsRate <HldgsRate>	[1..1]	Rate		1903

70.4.3.11 LotDetails <LotDtIs>

Presence: [0..*]

Definition: Information about the lot.

LotDetails <LotDtIs> contains the following elements (see [LotDetails1](#) on page 1889 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LotDescription <LotDesc>	[0..1]	Text		1889
	TradeDate <TradDt>	[1..1]	Date		1890
	OrderReference <OrdrRef>	[1..1]	Text		1890
	DealReference <DealRef>	[0..1]	Text		1890
	LotQuantityAndAmount <LotQtyAndAmt>	[0..1]	±		1890

70.4.3.12 OrderWaiverDetails <OrdrWvrDtIs>

Presence: [0..1]

Definition: Specifies information about a non-standard order.

OrderWaiverDetails <OrdrWvrDtls> contains the following elements (see [AdditionalInformation2](#) on page 1854 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			1855
{Or	Reason <Rsn>	[1..1]	CodeSet		1855
Or}	Proprietary <Prtry>	[1..1]	±		1855
	InformationValue <InfVal>	[0..1]	Text		1856

70.4.3.13 ChargeDetails <ChrgDtls>

Presence: [0..*]

Definition: Amount of money associated with a service.

ChargeDetails <ChrgDtls> contains the following elements (see [Charge21](#) on page 1796 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ChargeType <ChrgTp>	[1..1]			1796
{Or	Type <Tp>	[1..1]	CodeSet		1797
Or}	Proprietary <Prtry>	[1..1]	±		1798
	ChargeAmountOrRate <ChrgAmtOrRate>	[1..1]			1798
{Or	Amount <Amt>	[1..1]	Amount	C2	1798
Or}	Rate <Rate>	[1..1]	Rate		1799
	RecipientIdentification <Rcptld>	[0..1]	±		1799

70.4.3.14 TaxDetails <TaxDtls>

Presence: [0..*]

Definition: Amount of money due to the government or tax authority, according to various pre-defined parameters such as thresholds or income.

TaxDetails <TaxDtls> contains the following elements (see [Tax19 on page 3141](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[1..1]			3141
{Or	Type <Tp>	[1..1]	CodeSet		3142
Or}	Proprietary <Prtry>	[1..1]	±		3143
	Amount <Amt>	[1..1]	Amount	C2	3143
	Rate <Rate>	[0..1]	Rate		3144
	Country <Ctry>	[0..1]	CodeSet	C11	3144
	EUDividendStatusType <EUDvddStsTp>	[0..1]	±		3144
	EUCapitalGainType <EUCptlGnTp>	[0..1]			3145
{Or	EUCapitalGain <EUCptlGn>	[1..1]	CodeSet		3145
Or}	Proprietary <Prtry>	[1..1]	±		3145
	RecipientIdentification <Rcptld>	[0..1]	±		3145
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3146
	ExemptionReasonType <XmptnRsnTp>	[0..1]			3146
{Or	ExemptionReason <XmptnRsn>	[1..1]	CodeSet		3146
Or}	Proprietary <Prtry>	[1..1]	±		3149

70.4.3.15 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which the cash is available.

Datatype: [ISODate on page 3391](#)

70.4.3.16 RequestedSettlementCurrency <ReqdSttlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: [C1 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode on page 3246](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

70.4.3.17 PaymentReference <PmtRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a payment transaction, as assigned by the originator. The payment transaction reference is used for reconciliation or to link tasks relating to the payment transaction.

Datatype: [Max35Text on page 3409](#)

70.4.3.18 RelatedPartyDetails <RltdPtyDtls>

Presence: [0..10]

Definition: Information about parties related to the transaction.

RelatedPartyDetails <RltdPtyDtls> contains the following elements (see [Intermediary16 on page 2648](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2648
	RoleType <RoleTp>	[0..1]			2648
{Or	Role <Role>	[1..1]	CodeSet		2648
Or}	Proprietary <Prtry>	[1..1]	±		2650
	Account <Acct>	[0..1]	±		2650
	CommunicationInformation <ComInf>	[0..1]	±		2650

70.4.4 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation2 on page 2358](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2358
	OriginalReceiver <OrgnlRcvr>	[0..1]	±		2359

70.4.5 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: C6 ExtensionRule

Extension <Xtnsn> contains the following elements (see Extension1 on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

71 **MX setr.061.001.01** **AlternativeFundsSubscriptionOrderConfirmationV01**

71.1 **MessageDefinition Functionality**

Scope

An executing party, for example, a transfer agent or administrator, sends the AlternativeFundsSubscriptionOrderConfirmation message to the instructing party, for example, an investment manager, custodian or its authorised representative to confirm the details of the execution of a previously received AlternativeFundsSubscriptionOrder instruction.

There may be one or more parties between the executing party and the instructing party.

Usage

The AlternativeFundsSubscriptionOrderConfirmation message is used to confirm the execution of a subscription order.

Outline

The AlternativeFundsSubscriptionOrderConfirmationV01 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies a message from a technical application standpoint.
- B. PreviousReference
Reference to a linked message that was previously sent.
- C. RelatedReference
Reference to a linked message that was previously received.
- D. OrderExecutionDetails
Information related to the execution of the investment fund order.
- E. CopyDetails
Information provided when the message is a copy of a previous message.
- F. Extension
Additional information that cannot be captured in the structured elements and/or any other specific block.

71.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AltrntvFndsSbcptOrdrConf>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		1500
	PreviousReference <PrvsRef>	[0..1]	±		1500
	RelatedReference <RltdRef>	[0..1]	±		1501
	OrderExecutionDetails <OrdrExctnDtls>	[1..1]		C11, C12	1501
	MasterReference <MstrRef>	[0..1]	Text		1503
	OrderReference <OrdrRef>	[1..1]	Text		1503
	ClientReference <ClntRef>	[0..1]	Text		1503
	DealReference <DealRef>	[1..1]	Text		1503
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1503
	HedgeFundOrderType <HdgFndOrdrTp>	[0..*]	CodeSet		1504
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±		1504
	BeneficiaryDetails <BnfcryDtls>	[0..1]	±	C7	1504
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C10, C9	1505
	OrderedAmount <OrdrdAmt>	[0..1]	Amount	C1, C6	1506
	ExecutedAmount <ExctdAmt>	[1..1]	Amount	C1, C6	1507
	UnitsNumber <UnitsNb>	[0..1]	±		1508
	DealingPriceDetails <DealgPricDtls>	[0..1]	±		1508
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1508
	SidePocketDetails <SdPcktDtls>	[0..1]	±		1509
	TradeDateTime <TradDtTm>	[1..1]	±		1509
	NAVDate <NAVDt>	[1..1]	Date		1509
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1510
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C1	1510
	PaymentReference <PmtRef>	[0..1]	Text		1510
	LetterIntentReference <LtrlInttRef>	[0..1]	Text		1510
	ForeignExchangeDetails <FrngXchgDtls>	[0..*]	±		1510
	TotalCharges <TtlChrgs>	[0..1]	±		1511
	TaxGeneralDetails <TaxGnlDtls>	[0..1]	±		1511

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Equalisation <Equlstn>	[0..1]	±		1511
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1512
	Refund <Rfnd>	[0..1]	Amount	C1, C6	1512
	SubscriptionInterest <SbcptIntrst>	[0..1]	Amount	C1, C6	1513
	PartiallyExecutedIndicator <PrtyExctdInd>	[0..1]	Indicator		1513
	PartialSettlementOfUnits <PrtlSttlmOfUnits>	[0..1]	Rate		1514
	PartialSettlementOfCash <PrtlSttlmOfCsh>	[0..1]	Rate		1514
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±		1514
	CopyDetails <CpyDtls>	[0..1]	±		1514
	Extension <Xtnsn>	[0..*]	±	C8	1514

71.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C4 BIC

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid BIC Code

C5 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C6 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C7 ERISAEligibilityRule

(Rule)

If ERISAEligibility is ELIG, then ERISARate must be present.

C8 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C9 FinancialInstrumentIdentificationGuideline

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

C10 NameRule

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

C11 SidePocketOrderRule

(Rule)

If HedgeFundOrderType is SPOR in any occurrence of HedgeFundOrderType, then SidePocketDetails is not allowed.

C12 UnitizedRule

(Rule)

If HedgeFundOrderType is not present or is not "NUNI" in at least one occurrence, then DealingPriceDetails must be present.

71.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

71.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies a message from a technical application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

71.4.2 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference4](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

71.4.3 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference4](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

71.4.4 OrderExecutionDetails <OrdrExctnDtls>

Presence: [1..1]

Definition: Information related to the execution of the investment fund order.

Impacted by: [C11 SidePocketOrderRule](#), [C12 UnitizedRule](#)

OrderExecutionDetails <OrdrExctnDtls> contains the following **SubscriptionExecution7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		1503
	OrderReference <OrdrRef>	[1..1]	Text		1503
	ClientReference <ClntRef>	[0..1]	Text		1503
	DealReference <DealRef>	[1..1]	Text		1503
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1503
	HedgeFundOrderType <HdgFndOrdrTp>	[0..*]	CodeSet		1504
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±		1504
	BeneficiaryDetails <BnfcryDtls>	[0..1]	±	C7	1504
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C10, C9	1505
	OrderedAmount <OrdrdAmt>	[0..1]	Amount	C1, C6	1506
	ExecutedAmount <ExctdAmt>	[1..1]	Amount	C1, C6	1507
	UnitsNumber <UnitsNb>	[0..1]	±		1508
	DealingPriceDetails <DealgPricDtls>	[0..1]	±		1508
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1508
	SidePocketDetails <SdPcktDtls>	[0..1]	±		1509
	TradeDateTime <TradDtTm>	[1..1]	±		1509
	NAVDate <NAVDT>	[1..1]	Date		1509
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1510
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C1	1510
	PaymentReference <PmtRef>	[0..1]	Text		1510
	LetterIntentReference <LtrIntntRef>	[0..1]	Text		1510
	ForeignExchangeDetails <FrgnXchgDtls>	[0..*]	±		1510
	TotalCharges <TtlChrgs>	[0..1]	±		1511
	TaxGeneralDetails <TaxGnlDtls>	[0..1]	±		1511
	Equalisation <Equlstn>	[0..1]	±		1511
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1512
	Refund <Rfnd>	[0..1]	Amount	C1, C6	1512
	SubscriptionInterest <SbcptIntrst>	[0..1]	Amount	C1, C6	1513
	PartiallyExecutedIndicator <PrtlyExctdInd>	[0..1]	Indicator		1513

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartialSettlementOfUnits <PrtlSttlmOfUnits>	[0..1]	Rate		1514
	PartialSettlementOfCash <PrtlSttlmOfCsh>	[0..1]	Rate		1514
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±		1514

Constraints

- **SidePocketOrderRule**

(Rule)

If HedgeFundOrderType is SPOR in any occurrence of HedgeFundOrderType, then SidePocketDetails is not allowed.

- **UnitizedRule**

(Rule)

If HedgeFundOrderType is not present or is not "NUNI" in at least one occurrence, then DealingPriceDetails must be present.

71.4.4.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text on page 3409](#)

71.4.4.2 OrderReference <OrdRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for an order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

71.4.4.3 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

71.4.4.4 DealReference <DealRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for an order execution, as assigned by the executing party.

Datatype: [Max35Text on page 3409](#)

71.4.4.5 RequestedTradeDate <ReqdTradDt>

Presence: [0..1]

Definition: Date on which the investor requested the order to be executed. This is also known as the deal date in hedge funds.

Datatype: [ISODate on page 3391](#)

71.4.4.6 HedgeFundOrderType <HdgFndOrdTp>

Presence: [0..*]

Definition: Specifies the category of the investment fund order.

Datatype: [HedgeFundOrderType1Code on page 3288](#)

CodeName	Name	Definition
NUNI	NonUnitized	Investment fund order is for a limited partnership instrument.
SPCM	SidePocketComponent	Investment fund order contains a side pocket component.
BEDB	BedAndBreakfast	Investment fund order is part of a bed and breakfast transaction.
SPOR	SidePocketOrder	Investment fund order is a side pocket order.
UNIT	Unitized	Investment fund order is for a unitized instrument.
TOPU	TopUp	Investment fund order specifies a top up.

71.4.4.7 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [1..1]

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30 on page 2152](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

71.4.4.8 BeneficiaryDetails <BnfcryDtls>

Presence: [0..1]

Definition: Additional information about the beneficial owner.

Impacted by: [C7 ERISAEligibilityRule](#)

BeneficiaryDetails <BnfcryDtls> contains the following elements (see [BeneficiaryInformation2](#) on page 2818 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficiaryIdentification <Bnfcryld>	[0..1]	±		2818
	ERISAEligibility <ERISAEIgbly>	[0..1]	CodeSet		2819
	ERISARate <ERISARate>	[0..1]	Rate		2819
	BenefitPlanDeclarationIndicator <BnftPlanDclrnInd>	[0..1]	Indicator		2819
	NoChangeToBeneficiaryDetailsIndicator <NoChngToBnfcryDtlsInd>	[0..1]	Indicator		2820

Constraints

- **ERISAEligibilityRule**

(Rule)

If ERISAEligibility is ELIG, then ERISARate must be present.

71.4.4.9 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class to which an investment fund order execution is related.

Impacted by: [C10 NameRule](#), [C9 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument18 on page 1908](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <SctyId>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <OthrId>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueIdentificationDate <SrsIsselDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <NewIsselInd>	[0..1]	Indicator		1911
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

71.4.4.10 OrderedAmount <OrdrdAmt>

Presence: [0..1]

Definition: Amount of money instructed for the subscription.

Impacted by: C1 ActiveCurrency , C6 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

71.4.4.11 ExecutedAmount <ExctdAmt>

Presence: [1..1]

Definition: Amount of money invested in the financial instrument.

Impacted by: C1 ActiveCurrency, C6 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- Error severity: Fatal
- Error Code: D00007
- Error Text: Invalid currency code or too many decimal digits.

71.4.4.12 UnitsNumber <UnitsNb>

Presence: [0..1]

Definition: Total number of units subscribed.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

71.4.4.13 DealingPriceDetails <DealgPricDtls>

Presence: [0..1]

Definition: Price at which the order was executed.

DealingPriceDetails <DealgPricDtls> contains the following elements (see [UnitPrice16](#) on page 2870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitPriceType <UnitPricTp>	[1..1]	±		2870
	Value <Val>	[1..1]	±		2871
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2871
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2871
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[1..1]	CodeSet		2871
Or}	Proprietary <Prtry>	[1..1]	±		2872

71.4.4.14 InformativePriceDetails <InftvPricDtls>

Presence: [0..2]

Definition: Other quoted price, other than the price at which the order was executed.

InformativePriceDetails <InftvPricDtls> contains the following elements (see [UnitPrice16](#) on page 2870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitPriceType <UnitPricTp>	[1..1]	±		2870
	Value <Val>	[1..1]	±		2871
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2871
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2871
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[1..1]	CodeSet		2871
Or}	Proprietary <Prtry>	[1..1]	±		2872

71.4.4.15 SidePocketDetails <SdPcktDtls>

Presence: [0..1]

Definition: Information related to the side pocket component of the investment fund order.

SidePocketDetails <SdPcktDtls> contains the following elements (see [SidePocketInformation2](#) on page 1900 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SidePocketInclusionIndicator <SdPcktlInclsInd>	[0..1]	Indicator		1900
	SidePocketIdentification <SdPcktlId>	[0..1]	Text		1900
	SidePocketQuantity <SdPcktQty>	[0..1]	±		1901

71.4.4.16 TradeDateTime <TradDtTm>

Presence: [1..1]

Definition: Date and time at which a price is applied, according to the terms stated in the prospectus. This is also known as deal date.

TradeDateTime <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

71.4.4.17 NAVDate <NAVDt>

Presence: [1..1]

Definition: Valuation point, or valuation date of the portfolio (underlying assets). This is also known as price date.

Datatype: [ISODate](#) on page 3391

71.4.4.18 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

71.4.4.19 RequestedSettlementCurrency <ReqdSttlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

71.4.4.20 PaymentReference <PmtRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a payment transaction, as assigned by the originator. The payment transaction reference is used for reconciliation or to link tasks relating to the payment transaction.

Datatype: Max35Text on page 3409

71.4.4.21 LetterIntentReference <LtrInttRef>

Presence: [0..1]

Definition: Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer. A letter of intent program is mainly used in the US market.

Datatype: Max35Text on page 3409

71.4.4.22 ForeignExchangeDetails <FrngXchgDtls>

Presence: [0..*]

Definition: Information needed to process a currency exchange or conversion.

ForeignExchangeDetails <FrngXchgDtls> contains the following elements (see [ForeignExchangeTerms7](#) on page 1990 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2	1990
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1991
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C3	1991
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C3	1992
	ExchangeRate <XchgRate>	[1..1]	Rate		1992
	QuotationDate <QtnDt>	[0..1]	DateTime		1992
	QuotingInstitution <QtgInstn>	[0..1]	±		1993

71.4.4.23 TotalCharges <TtlChrgs>

Presence: [0..1]

Definition: Amount of money associated with a service.

TotalCharges <TtlChrgs> contains the following elements (see [TotalCharges4](#) on page 1795 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalAmountOfCharges <TtlAmtOfChrgs>	[0..1]	Amount	C2	1795
	ChargeDetails <ChrgDtls>	[0..*]	±		1796

71.4.4.24 TaxGeneralDetails <TaxGnIDtls>

Presence: [0..1]

Definition: Tax related to an investment fund order.

TaxGeneralDetails <TaxGnIDtls> contains the following elements (see [TotalTaxes4](#) on page 3129 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalAmountOfTaxes <TtlAmtOfTaxes>	[0..1]	Amount	C2	3129
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	3130
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		3131
	TaxDetails <TaxDtls>	[0..*]	±		3131

71.4.4.25 Equalisation <Equlstn>

Presence: [0..1]

Definition: Part of an investor's subscription amount that is held by the fund in order to pay incentive / performance fees at the end of the fiscal year.

Equalisation <Equlstn> contains the following elements (see [Equalisation2](#) on page 2343 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	2343
	Rate <Rate>	[0..1]	Rate		2343
	CreditDebitIndicator <CdtDbtInd>	[0..1]	CodeSet		2344

71.4.4.26 InterimProfitAmount <IntrmPrftAmt>

Presence: [0..1]

Definition: Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

InterimProfitAmount <IntrmPrftAmt> contains one of the following elements (see [ProfitAndLoss1Choice](#) on page 2861 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2	2861
Or}	Loss <Loss>	[1..1]	Amount	C2	2861

71.4.4.27 Refund <Rfnd>

Presence: [0..1]

Definition: Return of cash that has been overpaid for a subscription.

Impacted by: [C1 ActiveCurrency](#) __, [C6 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

71.4.4.28 SubscriptionInterest <SbcptIntrst>

Presence: [0..1]

Definition: Interest received when a subscription amount is paid in advance and then invested by the fund.

Impacted by: C1 ActiveCurrency, C6 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

71.4.4.29 PartiallyExecutedIndicator <PrtlyExctdInd>

Presence: [0..1]

Definition: Indicates whether the order has been partially executed, ie, the confirmed quantity does not match the ordered quantity for the financial instrument.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

71.4.4.30 PartialSettlementOfUnits <PrtlSttlmOfUnits>

Presence: [0..1]

Definition: Percentage of units partially settled.

Datatype: [PercentageRate](#) on page 3406

71.4.4.31 PartialSettlementOfCash <PrtlSttlmOfCsh>

Presence: [0..1]

Definition: Percentage of cash partially settled.

Datatype: [PercentageRate](#) on page 3406

71.4.4.32 RelatedPartyDetails <RltdPtyDtls>

Presence: [0..10]

Definition: Information about parties related to the transaction.

RelatedPartyDetails <RltdPtyDtls> contains the following elements (see [Intermediary16](#) on page 2648 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2648
	RoleType <RoleTp>	[0..1]			2648
{Or	Role <Role>	[1..1]	CodeSet		2648
Or}	Proprietary <Prtry>	[1..1]	±		2650
	Account <Acct>	[0..1]	±		2650
	CommunicationInformation <ComInf>	[0..1]	±		2650

71.4.5 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation2](#) on page 2358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2358
	OriginalReceiver <OrgnlRcvr>	[0..1]	±		2359

71.4.6 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: C8 ExtensionRule

Extension <Xtnsn> contains the following elements (see Extension1 on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

72 **MX setr.062.001.01** **AlternativeFundsRedemptionOrderConfirmationV01**

72.1 **MessageDefinition Functionality**

Scope

An executing party, for example, a transfer agent or administrator, sends the AlternativeFundsRedemptionOrderConfirmation message to the instructing party, for example, an investment manager, custodian or its authorised representative to confirm the details of execution of a previously received AlternativeFundsRedemptionOrder instruction.

There may be one or more parties between the executing party and the instructing party.

Usage

The AlternativeFundsRedemptionOrderConfirmation message is used to confirm the execution of a redemption order.

Outline

The AlternativeFundsRedemptionOrderConfirmationV01 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies a message from a technical application standpoint.
- B. PreviousReference
Reference to a linked message that was previously sent.
- C. RelatedReference
Reference to a linked message that was previously received.
- D. OrderExecutionDetails
Information related to the execution of the investment fund order.
- E. CopyDetails
Information provided when the message is a copy of a previous message.
- F. Extension
Additional information that cannot be captured in the structured elements and/or any other specific block.

72.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root <Document> <AltrntvFndsRedOrdrConf></i>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		1520
	PreviousReference <PrvsRef>	[0..1]	±		1521
	RelatedReference <RltdRef>	[0..1]	±		1521
	OrderExecutionDetails <OrdrExctnDtls>	[1..1]		C9, C11, C12, C13	1521
	MasterReference <MstrRef>	[0..1]	Text		1523
	OrderReference <OrdrRef>	[1..1]	Text		1523
	ClientReference <ClntRef>	[0..1]	Text		1523
	DealReference <DealRef>	[1..1]	Text		1524
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1524
	HedgeFundOrderType <HdgFndOrdrTp>	[0..*]	CodeSet		1524
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±		1524
	BeneficiaryDetails <BnfcryDtls>	[0..1]	±		1525
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C10, C8	1525
	OrderedAmount <OrdrdAmt>	[0..1]	Amount	C1, C6	1526
	ExecutedAmount <ExctdAmt>	[1..1]	Amount	C1, C6	1527
	UnitsNumber <UnitsNb>	[0..1]	±		1528
	DealingPriceDetails <DealgPricDtls>	[0..1]	±		1528
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1528
	HoldBackDetails <HldBckDtls>	[0..1]	±		1529
	SidePocketDetails <SdPcktDtls>	[0..1]	±		1529
	LotDetails <LotDtls>	[0..*]	±		1529
	TradeDateTime <TradDtTm>	[1..1]	±		1530
	NAVDate <NAVDt>	[1..1]	Date		1530
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1530
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C1	1530
	PaymentReference <PmtRef>	[0..1]	Text		1531
	LetterIntentReference <LtrIntttRef>	[0..1]	Text		1531

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	ForeignExchangeDetails <FrngXchgDtls>	[0..*]	±		1531
	TotalCharges <TtlChrgs>	[0..1]	±		1531
	TaxGeneralDetails <TaxGnlDtls>	[0..1]	±		1532
	Equalisation <Equlstn>	[0..1]	±		1532
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1532
	PartiallyExecutedIndicator <PrtyExctdInd>	[0..1]	Indicator		1533
	PartialSettlementOfUnits <PrtlSttlmOfUnits>	[0..1]	Rate		1533
	PartialSettlementOfCash <PrtlSttlmOfCsh>	[0..1]	Rate		1533
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±		1533
	CopyDetails <CpyDtls>	[0..1]	±		1534
	Extension <Xtnsn>	[0..*]	±	C7	1534

72.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C4 BIC

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid BIC Code

C5 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C6 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C7 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C8 FinancialInstrumentIdentificationGuideline

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

C9 LimitedPartnershipRule

(Rule)

If HedgeFundOrderType is NUNI in any occurrence of HedgeFundOrderType, then OrderedAmount must be present.

C10 NameRule

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

C11 RequestedTradeDateRule

(Rule)

If RequestedTradeDate is not present, then the next available date is used.

C12 SidePocketOrderRule

(Rule)

If HedgeFundOrderType is SPOR in any occurrence of HedgeFundOrderType, then SidePocketDetails is not allowed.

C13 UnitizedRule

(Rule)

If HedgeFundOrderType is not present or is not "NUNI" in at least one occurrence, then DealingPriceDetails must be present.

72.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

72.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies a message from a technical application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

72.4.2 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference4](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

72.4.3 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference4](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

72.4.4 OrderExecutionDetails <OrdExctnDtls>

Presence: [1..1]

Definition: Information related to the execution of the investment fund order.

Impacted by: [C9 LimitedPartnershipRule](#), [C11 RequestedTradeDateRule](#), [C12 SidePocketOrderRule](#), [C13 UnitizedRule](#)

OrderExecutionDetails <OrdrExctnDtls> contains the following **RedemptionExecution10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		1523
	OrderReference <OrdrRef>	[1..1]	Text		1523
	ClientReference <ClntRef>	[0..1]	Text		1523
	DealReference <DealRef>	[1..1]	Text		1524
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1524
	HedgeFundOrderType <HdgFndOrdrTp>	[0..*]	CodeSet		1524
	InvestmentAccountDetails <InvstmtAcctDtls>	[1..1]	±		1524
	BeneficiaryDetails <BnfcryDtls>	[0..1]	±		1525
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C10, C8	1525
	OrderedAmount <OrdrdAmt>	[0..1]	Amount	C1, C6	1526
	ExecutedAmount <ExctdAmt>	[1..1]	Amount	C1, C6	1527
	UnitsNumber <UnitsNb>	[0..1]	±		1528
	DealingPriceDetails <DealgPricDtls>	[0..1]	±		1528
	InformativePriceDetails <InftvPricDtls>	[0..2]	±		1528
	HoldBackDetails <HldBckDtls>	[0..1]	±		1529
	SidePocketDetails <SdPcktDtls>	[0..1]	±		1529
	LotDetails <LotDtls>	[0..*]	±		1529
	TradeDateTime <TradDtTm>	[1..1]	±		1530
	NAVDate <NAVDt>	[1..1]	Date		1530
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1530
	RequestedSettlementCurrency <ReqdSttlmCcy>	[0..1]	CodeSet	C1	1530
	PaymentReference <PmtRef>	[0..1]	Text		1531
	LetterIntentReference <LtrInttRef>	[0..1]	Text		1531
	ForeignExchangeDetails <FrngXchgDtls>	[0..*]	±		1531
	TotalCharges <TtlChrgs>	[0..1]	±		1531
	TaxGeneralDetails <TaxGnlDtls>	[0..1]	±		1532
	Equalisation <Equlstn>	[0..1]	±		1532
	InterimProfitAmount <IntrmPrftAmt>	[0..1]	±		1532
	PartiallyExecutedIndicator <PrtyExctdInd>	[0..1]	Indicator		1533
	PartialSettlementOfUnits <PrtlSttlmOfUnits>	[0..1]	Rate		1533

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartialSettlementOfCash <PrtlStlMOfCsh>	[0..1]	Rate		1533
	RelatedPartyDetails <RltdPtyDtls>	[0..10]	±		1533

Constraints

- **LimitedPartnershipRule**

(Rule)

If HedgeFundOrderType is NUNI in any occurrence of HedgeFundOrderType, then OrderedAmount must be present.

- **RequestedTradeDateRule**

(Rule)

If RequestedTradeDate is not present, then the next available date is used.

- **SidePocketOrderRule**

(Rule)

If HedgeFundOrderType is SPOR in any occurrence of HedgeFundOrderType, then SidePocketDetails is not allowed.

- **UnitizedRule**

(Rule)

If HedgeFundOrderType is not present or is not "NUNI" in at least one occurrence, then DealingPriceDetails must be present.

72.4.4.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: Max35Text on page 3409

72.4.4.2 OrderReference <OrdRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for an order, as assigned by the instructing party.

Datatype: Max35Text on page 3409

72.4.4.3 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: Max35Text on page 3409

72.4.4.4 DealReference <DealRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for an order execution, as assigned by the executing party.

Datatype: [Max35Text on page 3409](#)

72.4.4.5 RequestedTradeDate <ReqdTradDt>

Presence: [0..1]

Definition: Date on which the investor requested the order to be executed. This is also known as the deal date in hedge funds.

Datatype: [ISODate on page 3391](#)

72.4.4.6 HedgeFundOrderType <HdgFndOrdTp>

Presence: [0..*]

Definition: Specifies the category of the investment fund order.

Datatype: [HedgeFundOrderType2Code on page 3288](#)

CodeName	Name	Definition
NUNI	NonUnitized	Investment fund order is for a limited partnership instrument.
SPCM	SidePocketComponent	Investment fund order contains a side pocket component.
BEDB	BedAndBreakfast	Investment fund order is part of a bed and breakfast transaction.
SPOR	SidePocketOrder	Investment fund order is a side pocket order.
UNIT	Unitized	Investment fund order is for a unitized instrument.
TOPU	TopUp	Investment fund order specifies a top up.
HOLD	HoldBack	Investment fund order specifies a hold back.

72.4.4.7 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [1..1]

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30](#) on page 2152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

72.4.4.8 BeneficiaryDetails <BnfcryDtls>

Presence: [0..1]

Definition: Additional information about the beneficial owner.

BeneficiaryDetails <BnfcryDtls> contains the following elements (see [IndividualPerson15](#) on page 2813 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2813
	BirthDate <BirthDt>	[0..1]	Date		2813
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2813
	OtherIdentification <OthrlId>	[0..1]			2813
	Identification <Id>	[1..1]	Text		2814
	Issuer <Issr>	[0..1]	Text		2814
	OtherIdentificationType <OthrlIdTp>	[0..1]			2814
{Or	IdentificationType <IdTp>	[1..1]	CodeSet		2814
Or}	Proprietary <Prtry>	[1..1]	±		2815
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2815

72.4.4.9 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class to which an investment fund order execution is related.

Impacted by: [C10 NameRule](#), [C8 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument18 on page 1908](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <SctyId>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <OthrId>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueIdentificationDate <SrsIsselDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <NewIsselInd>	[0..1]	Indicator		1911
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

72.4.4.10 OrderedAmount <OrdrdAmt>

Presence: [0..1]

Definition: Amount of money instructed for the redemption.

Impacted by: C1 ActiveCurrency , C6 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

72.4.4.11 ExecutedAmount <ExctdAmt>

Presence: [1..1]

Definition: Amount of money to be received following redemption.

Impacted by: C1 ActiveCurrency, C6 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

72.4.4.12 UnitsNumber <UnitsNb>

Presence: [0..1]

Definition: Total number of units redeemed.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

72.4.4.13 DealingPriceDetails <DealgPricDtls>

Presence: [0..1]

Definition: Price at which the order was executed.

DealingPriceDetails <DealgPricDtls> contains the following elements (see [UnitPrice16](#) on page 2870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitPriceType <UnitPricTp>	[1..1]	±		2870
	Value <Val>	[1..1]	±		2871
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2871
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2871
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[1..1]	CodeSet		2871
Or}	Proprietary <Prtry>	[1..1]	±		2872

72.4.4.14 InformativePriceDetails <InftvPricDtls>

Presence: [0..2]

Definition: Other quoted price, other than the price at which the order was executed.

InformativePriceDetails <InftvPricDtIs> contains the following elements (see [UnitPrice16](#) on page 2870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitPriceType <UnitPricTp>	[1..1]	±		2870
	Value <Val>	[1..1]	±		2871
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2871
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2871
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[1..1]	CodeSet		2871
Or}	Proprietary <Prtry>	[1..1]	±		2872

72.4.4.15 HoldBackDetails <HldBckDtIs>

Presence: [0..1]

Definition: Information about hold back of redemption proceeds.

HoldBackDetails <HldBckDtIs> contains the following elements (see [HoldBackInformation1](#) on page 2342 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	HoldBackAmount <HldBckAmt>	[0..1]	Amount	C2, C10	2342
	HoldBackReleaseDate <HldBckRlsDt>	[0..1]	Date		2342

72.4.4.16 SidePocketDetails <SdPcktDtIs>

Presence: [0..1]

Definition: Information related to the side pocket component of the investment fund order.

SidePocketDetails <SdPcktDtIs> contains the following elements (see [SidePocketInformation2](#) on page 1900 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SidePocketInclusionIndicator <SdPcktInclsInd>	[0..1]	Indicator		1900
	SidePocketIdentification <SdPcktId>	[0..1]	Text		1900
	SidePocketQuantity <SdPcktQty>	[0..1]	±		1901

72.4.4.17 LotDetails <LotDtIs>

Presence: [0..*]

Definition: Information about the lot.

LotDetails <LotDtIs> contains the following elements (see [LotDetails1](#) on page 1889 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LotDescription <LotDesc>	[0..1]	Text		1889
	TradeDate <TradDt>	[1..1]	Date		1890
	OrderReference <OrdrRef>	[1..1]	Text		1890
	DealReference <DealRef>	[0..1]	Text		1890
	LotQuantityAndAmount <LotQtyAndAmt>	[0..1]	±		1890

72.4.4.18 TradeDateTime <TradDtTm>

Presence: [1..1]

Definition: Date and time at which a price is applied, according to the terms stated in the prospectus. This is also known as deal date.

TradeDateTime <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

72.4.4.19 NAVDate <NAVDt>

Presence: [1..1]

Definition: Valuation point, or valuation date of the portfolio (underlying assets). This is also known as price date.

Datatype: [ISODate](#) on page 3391

72.4.4.20 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: [ISODate](#) on page 3391

72.4.4.21 RequestedSettlementCurrency <ReqdSttlmCcy>

Presence: [0..1]

Definition: Currency requested for settlement of cash proceeds.

Impacted by: [C1 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode](#) on page 3246

Constraints

- **ActiveCurrency**
(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

72.4.4.22 PaymentReference <PmtRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a payment transaction, as assigned by the originator. The payment transaction reference is used for reconciliation or to link tasks relating to the payment transaction.

Datatype: [Max35Text on page 3409](#)

72.4.4.23 LetterIntentReference <LtrInttRef>

Presence: [0..1]

Definition: Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer. A letter of intent program is mainly used in the US market.

Datatype: [Max35Text on page 3409](#)

72.4.4.24 ForeignExchangeDetails <FrngXchgDtIs>

Presence: [0..*]

Definition: Information needed to process a currency exchange or conversion.

ForeignExchangeDetails <FrngXchgDtIs> contains the following elements (see [ForeignExchangeTerms7 on page 1990](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2	1990
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1991
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C3	1991
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C3	1992
	ExchangeRate <XchgRate>	[1..1]	Rate		1992
	QuotationDate <QtnDt>	[0..1]	DateTime		1992
	QuotingInstitution <QtgInstn>	[0..1]	±		1993

72.4.4.25 TotalCharges <TtlChrgs>

Presence: [0..1]

Definition: Amount of money associated with a service.

TotalCharges <TtlChrgs> contains the following elements (see [TotalCharges4](#) on page 1795 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalAmountOfCharges <TtlAmtOfChrgs>	[0..1]	Amount	C2	1795
	ChargeDetails <ChrgDtls>	[0..*]	±		1796

72.4.4.26 TaxGeneralDetails <TaxGnlDtls>

Presence: [0..1]

Definition: Tax related to an investment fund order.

TaxGeneralDetails <TaxGnlDtls> contains the following elements (see [TotalTaxes4](#) on page 3129 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalAmountOfTaxes <TtlAmtOfTaxes>	[0..1]	Amount	C2	3129
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	3130
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		3131
	TaxDetails <TaxDtls>	[0..*]	±		3131

72.4.4.27 Equalisation <Equlstn>

Presence: [0..1]

Definition: Part of an investor's subscription amount that is held by the fund in order to pay incentive / performance fees at the end of the fiscal year.

Equalisation <Equlstn> contains the following elements (see [Equalisation2](#) on page 2343 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	2343
	Rate <Rate>	[0..1]	Rate		2343
	CreditDebitIndicator <CdtDbtInd>	[0..1]	CodeSet		2344

72.4.4.28 InterimProfitAmount <IntrmPrftAmt>

Presence: [0..1]

Definition: Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

InterimProfitAmount <IntrmPrftAmt> contains one of the following elements (see [ProfitAndLoss1Choice](#) on page 2861 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2	2861
Or}	Loss <Loss>	[1..1]	Amount	C2	2861

72.4.4.29 PartiallyExecutedIndicator <PrtlyExctdInd>

Presence: [0..1]

Definition: Indicates whether the order has been partially executed, ie, the confirmed quantity does not match the ordered quantity for a given financial instrument.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

72.4.4.30 PartialSettlementOfUnits <PrtlSttlmOfUnits>

Presence: [0..1]

Definition: Percentage of units partially settled.

Datatype: [PercentageRate](#) on page 3406

72.4.4.31 PartialSettlementOfCash <PrtlSttlmOfCsh>

Presence: [0..1]

Definition: Percentage of cash partially settled.

Datatype: [PercentageRate](#) on page 3406

72.4.4.32 RelatedPartyDetails <RltdPtyDtls>

Presence: [0..10]

Definition: Information about parties related to the transaction.

RelatedPartyDetails <RltdPtyDtls> contains the following elements (see [Intermediary16](#) on page 2648 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2648
	RoleType <RoleTp>	[0..1]			2648
{Or	Role <Role>	[1..1]	CodeSet		2648
Or}	Proprietary <Prtry>	[1..1]	±		2650
	Account <Acct>	[0..1]	±		2650
	CommunicationInformation <ComInf>	[0..1]	±		2650

72.4.5 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation2](#) on page 2358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2358
	OriginalReceiver <OrgnlRcvr>	[0..1]	±		2359

72.4.6 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C7 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

73 MX setr.064.001.01 AlternativeFundsOrderInstructionStatusReportV01

73.1 MessageDefinition Functionality

Scope

An executing party, for example, a transfer agent or administrator, sends the AlternativeFundsOrderInstructionStatusReport to the instructing party, for example, an investment manager, custodian or its authorised representative to report the status of an order from the time the executing party receives the order until the time the order is executed.

There may be one or more parties between the executing party and the instructing party.

Usage

The AlternativeFundsOrderInstructionStatusReport message is used to report on the status of a AlternativeFundsSubscriptionOrder or AlternativeFundsRedemptionOrder.

One of the following statuses can be reported:

- an already executed status (COSE), or,
- a communication problem with next party status (CPNP), or,
- a cash settled order not executed (CSNE) status, or,
- an accepted status (PACK), or,
- a received status (RECE), or
- a settled status (SETT), or,
- or, a sent to next party status (STNP), or,
- a cancelled status, or
- a conditionally accepted status, or,
- a rejected status, or,
- a suspended status, or,
- a partially settled status.

Outline

The AlternativeFundsOrderInstructionStatusReportV01 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies a message from a technical application standpoint.

B. RelatedReference

Reference to a linked message that was previously received.

C. OrderDetailsReport

Status report details of an order.

D. CopyDetails

Information provided when the message is a copy of a previous message.

E. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

73.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AltrntvFndsOrdrlnstrStsRpt>	[1..1]			
	MessageIdentification <Msgld>	[1..1]	±		1540
	RelatedReference <RltdRef>	[0..1]	±		1540
	OrderDetailsReport <OrdrDtlsRpt>	[1..1]			1540
	MasterReference <MstrRef>	[0..1]	Text		1541
	OrderReference <OrdrRef>	[1..1]	Text		1541
	ClientReference <ClntRef>	[0..1]	Text		1542
	DealReference <DealRef>	[0..1]	Text		1542
	CancellationReference <CxlRef>	[0..1]	Text		1542
	StatusDetails <StsDtls>	[1..1]			1542
{Or	Status <Sts>	[1..1]	CodeSet		1542
Or	Cancelled <Canc>	[1..1]	±		1543
Or	ConditionallyAccepted <CondlyAccptd>	[1..5]	±	C11	1543
Or	Rejected <Rjctd>	[1..10]			1544
{Or	Reason <Rsn>	[1..1]	CodeSet		1544
Or}	Proprietary <Prtry>	[1..1]	±		1546
Or	Suspended <Sspd>	[1..1]	±		1546
Or}	PartiallySettled <PrtySttld>	[1..1]	±		1546
	OrderData <OrdrData>	[0..1]			1546
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1547
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1547
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	1547
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1548
	NewDetails <NewDtls>	[0..1]	±		1549
	StatusInitiator <StsInitr>	[0..1]	±		1549
	CopyDetails <CpyDtls>	[0..1]	±		1549
	Extension <Xtnsn>	[0..*]	±	C8	1550

73.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C4 BIC

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid BIC Code

C5 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C6 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C7 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C8 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C9 FinancialInstrumentIdentificationGuideline

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

C10 NameRule

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

C11 NoSpecifiedReasonRule

(Rule)

NoSpecifiedReason may only be present once.

73.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

73.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies a message from a technical application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

73.4.2 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference4](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

73.4.3 OrderDetailsReport <OrdrDtlsRpt>

Presence: [1..1]

Definition: Status report details of an order.

OrderDetailsReport <OrdrDtlsRpt> contains the following **IndividualOrderStatusAndReason3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		1541
	OrderReference <OrdrRef>	[1..1]	Text		1541
	ClientReference <ClntRef>	[0..1]	Text		1542
	DealReference <DealRef>	[0..1]	Text		1542
	CancellationReference <CxIRef>	[0..1]	Text		1542
	StatusDetails <StsDtls>	[1..1]			1542
{Or	Status <Sts>	[1..1]	CodeSet		1542
Or	Cancelled <Canc>	[1..1]	±		1543
Or	ConditionallyAccepted <CondlyAcctd>	[1..5]	±	C11	1543
Or	Rejected <Rjctd>	[1..10]			1544
{Or	Reason <Rsn>	[1..1]	CodeSet		1544
Or}	Proprietary <Prtry>	[1..1]	±		1546
Or	Suspended <Sspd>	[1..1]	±		1546
Or}	PartiallySettled <PrtySttld>	[1..1]	±		1546
	OrderData <OrdrData>	[0..1]			1546
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1547
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1547
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	1547
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1548
	NewDetails <NewDtls>	[0..1]	±		1549
	StatusInitiator <StsInitr>	[0..1]	±		1549

73.4.3.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text on page 3409](#)

73.4.3.2 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for an order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

73.4.3.3 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

73.4.3.4 DealReference <DealRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for an order execution, as assigned by the executing party.

Datatype: [Max35Text on page 3409](#)

73.4.3.5 CancellationReference <CxIRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for an order cancellation, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

73.4.3.6 StatusDetails <StsDtls>

Presence: [1..1]

Definition: Choice of status.

StatusDetails <StsDtls> contains one of the following **OrderStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		1542
Or	Cancelled <Canc>	[1..1]	±		1543
Or	ConditionallyAccepted <CondlyAccptd>	[1..5]	±	C11	1543
Or	Rejected <Rjctd>	[1..10]			1544
{Or	Reason <Rsn>	[1..1]	CodeSet		1544
Or}	Proprietary <Prtry>	[1..1]	±		1546
Or	Suspended <Sspd>	[1..1]	±		1546
Or}	PartiallySettled <PrtySttld>	[1..1]	±		1546

73.4.3.6.1 Status <Sts>

Presence: [1..1]

Definition: Status of the order.

Datatype: [OrderStatus5Code on page 3319](#)

CodeName	Name	Definition
RECE	Received	Order has been received, ie, technical validation of the message is ok, and the message is now at the receiving side.
PACK	Accepted	Order is accepted and is ready for execution (execution is the moment when pricing is applied).
COSE	AlreadyExecuted	Order is already executed and confirmation has been sent.
STNP	SentToNextParty	Order has been sent to the next party, eg, the next intermediary.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
SETT	Settled	Order is settled. The cash is credited or debited.
CSNE	CashSettledOrderNotExecuted	Order is accepted and is ready for execution (execution is the moment when pricing is applied). Cash is settled, but the order is not executed.

73.4.3.6.2 Cancelled <Canc>

Presence: [1..1]

Definition: Status of the individual order is cancelled. This status is used for an order that has been accepted or that has been entered in an order book but that cannot be executed.

Cancelled <Canc> contains one of the following elements (see [CancelledStatusReason1Choice](#) on page 2961 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	CodeSet		2961
Or	Proprietary <Prtry>	[1..1]	±		2961
Or}	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		2962

73.4.3.6.3 ConditionallyAccepted <CondlyAcptd>

Presence: [1..5]

Definition: Status of the order is conditionally accepted.

Impacted by: [C11 NoSpecifiedReasonRule](#)

ConditionallyAccepted <CondlyAcptd> contains one of the following elements (see [ConditionallyAcceptedStatusReason1Choice](#) on page 3055 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	CodeSet		3055
Or	Proprietary <Prtry>	[1..1]	±		3057
Or}	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		3057

Constraints

- **NoSpecifiedReasonRule**

(Rule)

NoSpecifiedReason may only be present once.

73.4.3.6.4 Rejected <Rjctd>

Presence: [1..10]

Definition: Status of the order is rejected. This status is used for an order that has not been accepted or entered in an order book.

Rejected <Rjctd> contains one of the following **RejectedStatusReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	CodeSet		1544
Or}	Proprietary <Prtry>	[1..1]	±		1546

73.4.3.6.4.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the rejected status.

Datatype: [RejectedStatusReason10Code](#) on page 3336

CodeName	Name	Definition
ADEA	AfterDeadline	Instruction was received after the Receiver's deadline.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.
CUTO	CutOffTime	Instruction has been received after the cut-off time.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
IEXE	SubscriberOrRedeemer	Unrecognised or invalid subscriber or redeemer.

CodeName	Name	Definition
INTE	Intermediary	Intermediary is not recognised or is invalid.
IOTP	InvalidOrderType	Order type is invalid.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
LATE	TooLate	Instruction was received after market deadline.
MONY	NotEnoughCash	There is not enough cash in the account to process the instruction.
NRGM	NoCancellationMatch	The cancellation request has been rejected since more than one instruction match to the cancellation criteria.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
ORRF	DuplicateOrderReference	Order reference is a duplicate of a previously received order.
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
SHIG	TooHighUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too high for a subscription.
SLOW	TooLowUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too low for a subscription.
UDCY	UnacceptedDealCurrency	Deal currency is not supported.
ULNK	UnknownLinkagesReference	Linked reference is not known.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.
ORDR	InvalidOrderedAmount	Unrecognised or invalid ordered amount.
BMIN	BelowMinimumInitialInvestmentAmount	Amount of subscription is below the minimum initial investment amount.
BMTO	BelowMinimumTopUpAmount	Amount of subscription is below the minimum top-up investment.
INSU	InsufficientCapacity	Insufficient capacity.
PRCT	PercentageHoldingBreach	Percentage holding breach, for example, PPM rules; taxation rules (ERISA).
BMRA	BelowMinimumRedemptionAmount	Amount is below the minimum redemption amount.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
LOCK	LockUp	Lock-up period is in place.
ILLI	AssetsIlliquid	Assets are illiquid.
DINV	DataInvalid	Data in the order or transfer instruction is invalid.

CodeName	Name	Definition
CLOS	FundClosed	Fund is closed and will not take in any more investments.

73.4.3.6.4.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the rejected status.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13 on page 2020](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchemeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

73.4.3.6.5 Suspended <Sspd>

Presence: [1..1]

Definition: Status of the order is suspended.

Suspended <Sspd> contains one of the following elements (see [SuspendedStatusReasonChoice on page 3054](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	CodeSet		3054
Or	Proprietary <Prtry>	[1..1]	±		3054
Or}	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		3054

73.4.3.6.6 PartiallySettled <PrtySttld>

Presence: [1..1]

Definition: Status of the order is partially settled.

PartiallySettled <PrtySttld> contains the following elements (see [PartiallySettledStatus2 on page 3053](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]	CodeSet		3053
	Proprietary <Prtry>	[1..1]	±		3053

73.4.3.7 OrderData <OrdrData>

Presence: [0..1]

Definition: Data from the original order.

OrderData <OrdrData> contains the following **FundOrderData3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1547
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1547
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	1547
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1548

73.4.3.7.1 RequestedTradeDate <ReqdTradDt>

Presence: [0..1]

Definition: Date on which the investor requests the order to be executed.

Datatype: [ISODate](#) on page 3391

73.4.3.7.2 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the order instruction for which the status is given.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30](#) on page 2152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

73.4.3.7.3 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..1]

Definition: Financial instrument information of the order instruction for which the status is given.

Impacted by: [C10 NameRule](#), [C9 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument18 on page 1908](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <SctyId>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <OthrId>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueIdentificationDate <SrsIsselDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <NewlsseInd>	[0..1]	Indicator		1911
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

73.4.3.7.4 FinancialInstrumentQuantity <FinInstrmQty>

Presence: [0..1]

Definition: Quantity of financial instrument of the order instruction for which the status is given.

FinancialInstrumentQuantity <FinInstrmQty> contains one of the following elements (see [FinancialInstrumentQuantity11Choice on page 1954](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1955
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C3, C12	1955
Or}	HoldingsRate <HldgsRate>	[1..1]	Rate		1956

73.4.3.8 NewDetails <NewDtls>

Presence: [0..1]

Definition: Information that has been added to the original order.

NewDetails <NewDtls> contains the following elements (see [ExpectedExecutionDetails3](#) on page 2337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExpectedTradeDateTime <XpctdTradDtTm>	[0..1]	±		2337
	ExpectedCashSettlementDate <XpctdCshSttlmDt>	[0..1]	Date		2338
	ExpectedExecutedAmount <XpctdExctdAmt>	[1..1]	Amount	C2, C10	2338
	PaymentIndicator <PmtInInd>	[0..1]	Indicator		2339
	PaymentReference <PmtRef>	[0..1]	Text		2339
	PrepaymentDate <PrepmtDt>	[0..1]	Date		2339
	TopUpAmount <TopUpAmt>	[0..1]	Amount	C2, C10	2339
	HoldBackDetails <HldBckDtls>	[0..1]	±		2340
	SidePocketQuantity <SdPcktQty>	[0..1]	±		2340

73.4.3.9 StatusInitiator <StsInitr>

Presence: [0..1]

Definition: Party that initiates the status.

StatusInitiator <StsInitr> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

73.4.4 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation2](#) on page 2358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2358
	OriginalReceiver <OrgnlRcvr>	[0..1]	±		2359

73.4.5 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C8 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

74 MX setr.065.001.01 InvestmentFundOrderCancellationRequestV01

74.1 MessageDefinition Functionality

Scope

An instructing party, for example, an investment manager, a custodian or its authorised representative, sends the InvestmentFundOrderCancellationRequest to the executing party, for example, the transfer agent or administrator, to request the cancellation of a previously sent investment fund order, such as the SubscriptionOrder, AlternativeFundsSubscriptionOrder, AlternativeFundsRedemptionOrder, etc.

There may be one or more parties between the instructing party and the executing party.

Usage

The InvestmentFundOrderCancellationRequest message is used to request the cancellation of one or more individual orders.

There is no amendment, but a cancel and re-instruct policy.

When the InvestmentFundOrderCancellationRequest message is used to request the cancellation of one or more orders:

- The order reference of each order to be cancelled (as specified in the original order message) is specified.
- Elements of the individual order, as listed in the original order message, may also be specified, but this is not recommended.
- The message identification of the order message in which the individual order was conveyed may also be quoted in PreviousReference, but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a InvestmentFundOrderCancellationRequest is made using an OrderCancellationStatusReport message.

Outline

The InvestmentFundOrderCancellationRequestV01 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification
Reference that uniquely identifies a message from a technical application standpoint.
- B. PoolReference
Collective reference identifying a set of messages.
- C. PreviousReference

Reference to a linked message that was previously sent.

D. OrderCancellationDetails

Reference and transaction details of the order for which the cancellation is requested.

E. CopyDetails

Information provided when the message is a copy of a previous message.

F. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

74.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <InvstmtFndOrdrcxlReq>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		1555
	PoolReference <PoolRef>	[0..1]	±		1556
	PreviousReference <PrvsRef>	[0..1]	±		1556
	OrderCancellationDetails <OrdrcxlDtls>	[1..*]			1556
	MasterReference <MstrRef>	[0..1]	Text		1557
	OrderReference <OrdRef>	[1..1]	Text		1558
	ClientReference <ClntRef>	[0..1]	Text		1558
	CancellationReference <CxlRef>	[0..1]	Text		1558
	OrderType <OrdTp>	[1..1]	CodeSet		1558
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1558
	OrderDetails <OrdDtls>	[0..1]			1558
{Or	SubscriptionDetails <SbcptDtls>	[1..1]			1559
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1560
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1560
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1561
Or	RedemptionDetails <RedDtls>	[1..1]			1562
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1562
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1562
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1563
Or}	SwitchDetails <SwchDtls>	[1..1]			1564
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1564
	RedemptionLeg <RedLeg>	[1..*]			1565
	LegIdentification <LegId>	[0..1]	Text		1565
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1565
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1566
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1567
	SubscriptionLeg <SbcptLeg>	[1..*]			1567
	LegIdentification <LegId>	[0..1]	Text		1567
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1568

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1568
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1569
	CopyDetails <CpyDtls>	[0..1]	±		1570
	Extension <Xtnsn>	[0..*]	±	C6	1570

74.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C2 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C3 BIC

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid BIC Code

C4 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C5 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C6 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C7 FinancialInstrumentIdentificationGuideline

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

C8 NameRule

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

74.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

74.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies a message from a technical application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1](#) on page 2016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

74.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference4](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

74.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference4](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

74.4.4 OrderCancellationDetails <OrdrCxIDtls>

Presence: [1..*]

Definition: Reference and transaction details of the order for which the cancellation is requested.

OrderCancellationDetails <OrdrCxlDtls> contains the following **InvestmentFundOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		1557
	OrderReference <OrdrRef>	[1..1]	Text		1558
	ClientReference <ClntRef>	[0..1]	Text		1558
	CancellationReference <CxlRef>	[0..1]	Text		1558
	OrderType <OrdrTp>	[1..1]	CodeSet		1558
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1558
	OrderDetails <OrdrDtls>	[0..1]			1558
{Or	SubscriptionDetails <SbcptDtls>	[1..1]			1559
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1560
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1560
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1561
Or	RedemptionDetails <RedDtls>	[1..1]			1562
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1562
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1562
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1563
Or}	SwitchDetails <SwchDtls>	[1..1]			1564
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1564
	RedemptionLeg <RedLeg>	[1..*]			1565
	LegIdentification <LegId>	[0..1]	Text		1565
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1565
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1566
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1567
	SubscriptionLeg <SbcptLeg>	[1..*]			1567
	LegIdentification <LegId>	[0..1]	Text		1567
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1568
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1568
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1569

74.4.4.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text on page 3409](#)

74.4.4.2 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for an order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

74.4.4.3 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

74.4.4.4 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for an order cancellation, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

74.4.4.5 OrderType <OrdrTp>

Presence: [1..1]

Definition: Specifies the kind of order for which the cancellation is requested.

Datatype: [FundOrderType1Code on page 3284](#)

CodeName	Name	Definition
SUBS	Subscription	Investment fund order is a subscription.
REDM	Redemption	Investment fund order is a redemption.
SWIT	Switch	Investment fund order is a switch.

74.4.4.6 AmendmentIndicator <AmdmntInd>

Presence: [0..1]

Definition: Indicates whether a new message, as a replacement for the order being cancelled, will follow the cancellation request or not.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

74.4.4.7 OrderDetails <OrdrDtls>

Presence: [0..1]

Definition: Extract of subscription, redemption or switch order data.

OrderDetails <OrdrDtls> contains one of the following
SubscriptionOrRedemptionOrSwitchOrderDataChoice elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SubscriptionDetails <SbcptDtls>	[1..1]			1559
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1560
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1560
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1561
Or	RedemptionDetails <RedDtls>	[1..1]			1562
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1562
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1562
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1563
Or}	SwitchDetails <SwchDtls>	[1..1]			1564
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1564
	RedemptionLeg <RedLeg>	[1..*]			1565
	LegIdentification <LegId>	[0..1]	Text		1565
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1565
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1566
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1567
	SubscriptionLeg <SbcptLeg>	[1..*]			1567
	LegIdentification <LegId>	[0..1]	Text		1567
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1568
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1568
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1569

74.4.4.7.1 SubscriptionDetails <SbcptDtls>

Presence: [1..1]

Definition: Subscription order data.

SubscriptionDetails <SbcptDtls> contains the following **SubscriptionOrder10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1560
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1560
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1561

74.4.4.7.1.1 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the order instruction for which the cancellation is requested.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30](#) on page 2152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

74.4.4.7.1.2 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..1]

Definition: Financial instrument information of the order instruction for which the cancellation is requested.

Impacted by: [C8 NameRule](#), [C7 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument18 on page 1908](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <SctyId>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <OthrId>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueIdentificationDate <SrsIsselDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <NewIsselInd>	[0..1]	Indicator		1911
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

74.4.4.7.1.3 FinancialInstrumentQuantity <FinInstrmQty>

Presence: [0..1]

Definition: Quantity of financial instrument of the order instruction which the cancellation is requested.

FinancialInstrumentQuantity <FinInstrmQty> contains one of the following elements (see [FinancialInstrumentQuantity7Choice](#) on page 1962 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1962
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C3, C12	1963
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C12	1963
Or}	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C12	1964

74.4.4.7.2 RedemptionDetails <RedDtls>

Presence: [1..1]

Definition: Redemption order data.

RedemptionDetails <RedDtls> contains the following **RedemptionOrder10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1562
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1562
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1563

74.4.4.7.2.1 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the order instruction for which the cancellation is requested.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30](#) on page 2152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

74.4.4.7.2.2 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..1]

Definition: Financial instrument information of the order instruction for which the cancellation is requested.

Impacted by: C8 NameRule, C7 FinancialInstrumentIdentificationGuideline

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see FinancialInstrument18 on page 1908 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <SctyId>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <OthrId>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueIdentificationDate <SrsIsselDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <NewIsselInd>	[0..1]	Indicator		1911
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

74.4.4.7.2.3 FinancialInstrumentQuantity <FinInstrmQty>

Presence: [0..1]

Definition: Quantity of financial instrument of the order instruction which the cancellation is requested.

FinancialInstrumentQuantity <FinInstrmQty> contains one of the following elements (see [FinancialInstrumentQuantity8Choice](#) on page 1959 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1960
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C3, C12	1960
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C12	1960
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C12	1961
Or}	HoldingsRate <HldgsRate>	[1..1]	Rate		1962

74.4.4.7.3 SwitchDetails <SwtchDtls>

Presence: [1..1]

Definition: Switch order data.

SwitchDetails <SwtchDtls> contains the following **SwitchOrder5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1564
	RedemptionLeg <RedLeg>	[1..*]			1565
	LegIdentification <LegId>	[0..1]	Text		1565
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1565
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1566
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1567
	SubscriptionLeg <SbcptLeg>	[1..*]			1567
	LegIdentification <LegId>	[0..1]	Text		1567
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1568
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1568
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1569

74.4.4.7.3.1 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the order instruction for which the cancellation is requested.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30 on page 2152](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

74.4.4.7.3.2 RedemptionLeg <RedLeg>

Presence: [1..*]

Definition: Redemption leg information of the order instruction which the cancellation is requested.

RedemptionLeg <RedLeg> contains the following **SwitchRedemptionLegOrder4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LegIdentification <LegId>	[0..1]	Text		1565
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1565
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1566
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1567

74.4.4.7.3.2.1 LegIdentification <LegId>

Presence: [0..1]

Definition: Unique technical identifier for an instance of a leg within a switch.

Datatype: [Max35Text on page 3409](#)

74.4.4.7.3.2.2 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the order instruction for which the cancellation is requested.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30 on page 2152](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

74.4.4.7.3.2.3 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..1]

Definition: Financial instrument information of the order instruction for which the cancellation is requested.

Impacted by: [C8 NameRule](#), [C7 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument18 on page 1908](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <Sctyld>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <Othrlid>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueIdentificationDate <Srs/IsseldDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <New/Isselnd>	[0..1]	Indicator		1911
	SupplementaryIdentification <Splmtryld>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

74.4.4.7.3.2.4 FinancialInstrumentQuantity <FinInstrmQty>

Presence: [0..1]

Definition: Redemption leg amount or quantity or rate.

FinancialInstrumentQuantity <FinInstrmQty> contains one of the following elements (see [FinancialInstrumentQuantity12Choice on page 1931](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1931
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C3, C12	1932
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C12	1932
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C12	1933
Or	HoldingsRate <HldgsRate>	[1..1]	Rate		1934
Or}	PercentageOfTotalSubscriptionAmount <PctgOfTtlSbcptAmt>	[1..1]	Rate		1934

74.4.4.7.3.3 SubscriptionLeg <SbcptLeg>

Presence: [1..*]

Definition: Subscription leg information of the order instruction which the cancellation is requested.

SubscriptionLeg <SbcptLeg> contains the following **SwitchSubscriptionLegOrder4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LegIdentification <Legld>	[0..1]	Text		1567
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1568
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C8, C7	1568
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1569

74.4.4.7.3.3.1 LegIdentification <Legld>

Presence: [0..1]

Definition: Unique technical identifier for an instance of a leg within a switch.

Datatype: [Max35Text on page 3409](#)

74.4.4.7.3.3.2 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the order instruction for which the cancellation is requested.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30 on page 2152](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

74.4.4.7.3.3.3 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..1]

Definition: Financial instrument information of the order instruction for which the cancellation is requested.

Impacted by: [C8 NameRule](#), [C7 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument18 on page 1908](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <SctyId>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <OthrId>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueIdentificationDate <SrsIsselDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <NewIsselInd>	[0..1]	Indicator		1911
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

74.4.4.7.3.3.4 FinancialInstrumentQuantity <FinInstrmQty>

Presence: [0..1]

Definition: Subscription leg amount or quantity or rate.

FinancialInstrumentQuantity <FinInstrmQty> contains one of the following elements (see [FinancialInstrumentQuantity13Choice](#) on page 1974 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1974
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C3, C12	1974
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C12	1975
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C12	1976
Or}	PercentageOfTotalRedemptionAmount <PctgOfTtlRedAmt>	[1..1]	Rate		1977

74.4.5 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation2](#) on page 2358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2358
	OriginalReceiver <OrgnlRcvr>	[0..1]	±		2359

74.4.6 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C6 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

75 MX setr.066.001.01 InvestmentFundCancellationAdviceV01

75.1 MessageDefinition Functionality

Scope

An executing party/account servicer, for example, a transfer agent or administrator, sends the InvestmentFundCancellationAdvice to the instructing party/account owner, for example, an investment manager, custodian or its authorised representative, to cancel a previously sent investment fund order confirmation or statement message.

There may be one or more parties between the executing party/account servicer and the instructing party/account owner.

Usage

The InvestmentFundCancellationAdvice message is used either to:

- cancel one or more previously sent order confirmations, such as the confirmation contained in a SubscriptionOrderConfirmation, AlternativeFundsSubscriptionOrderConfirmation, etc, or,
- cancel a previously sent statement message.

(1) When the InvestmentFundCancellationAdvice message is used to advise on the cancellation of an order confirmation message:

- The business references, for example, the OrderReference or DealReference as specified in the order confirmation message are specified.
- The amendment indicator element may be used to specify whether the order confirmation cancellation advice is to be followed by a new order confirmation.
- Elements of the individual order confirmation, as listed in the original order confirmation message, may also be specified, but this is not recommended.
- The message identification of the order confirmation message may also be quoted in PreviousReference, but this is not recommended.

(2) When the InvestmentFundCancellationAdvice message is used to advise on the cancellation of a statement:

- The reference of the statement is quoted.
- The report number, statement date and the account number, etc, may also be provided.
- The amendment indicator element may be used to specify whether the statement cancellation advice is to be followed by a new statement.
- The message identification of the original statement message may also be quoted in PreviousReference, but this is not recommended.

The rejection of a InvestmentFundCancellationAdvice is made using an OrderConfirmationStatusReport message.

Outline

The InvestmentFundCancellationAdviceV01 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies a message from a technical application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. AdviceDetails

Information about the cancellation advice.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

75.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <InvstmtFndCxlAdv>	[1..1]			
	MessageIdentification <MsgId>	[1..1]	±		1576
	PoolReference <PoolRef>	[0..1]	±		1576
	PreviousReference <PrvsRef>	[0..1]	±		1576
	RelatedReference <RltdRef>	[0..1]	±		1577
	AdviceDetails <AdvcDtls>	[1..1]			1577
{Or	OrderConfirmationAdviceDetails <OrdrConfAdvDtls>	[1..*]			1578
	MasterReference <MstrRef>	[0..1]	Text		1579
	OrderReference <OrdrRef>	[0..1]	Text		1579
	ClientReference <ClntRef>	[0..1]	Text		1579
	DealReference <DealRef>	[0..1]	Text		1579
	ConfirmationType <ConfTp>	[1..1]	CodeSet		1580
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1580
	OrderExecutionDetails <OrdrExctnDtls>	[0..1]			1580
{Or	SubscriptionDetails <SbcptDtls>	[1..1]	±		1580
Or	RedemptionDetails <RedDtls>	[1..1]			1581
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1581
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	1581
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1582
Or}	SwitchDetails <SwchDtls>	[1..1]	±		1583
Or}	StatementAdviceDetails <StmtAdvDtls>	[1..1]			1583
	Reference <Ref>	[1..1]	Text		1584
	StatementDateTime <StmtDtTm>	[1..1]	±		1584
	CreationDateTime <CreDtTm>	[0..1]	±		1584
	ReportNumber <RptNb>	[0..1]	Text		1584
	StatementType <StmtTp>	[1..1]	CodeSet		1585
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1585
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1585
	CopyDetails <CpyDtls>	[0..1]	±		1586
	Extension <Xtnsn>	[0..*]	±	C8	1586

75.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 ActiveCurrency

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

C2 ActiveOrHistoricCurrency

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

C3 AnyBIC

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

C4 BIC

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid BIC Code

C5 Country

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code). (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C6 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C7 CurrencyAmount

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

C8 ExtensionRule

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

C9 FinancialInstrumentIdentificationGuideline

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

C10 NameRule

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

75.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

75.4.1 MessageIdentification <MsgId>

Presence: [1..1]

Definition: Reference that uniquely identifies a message from a technical application standpoint.

MessageIdentification <MsgId> contains the following elements (see [MessageIdentification1 on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

75.4.2 PoolReference <PoolRef>

Presence: [0..1]

Definition: Collective reference identifying a set of messages.

PoolReference <PoolRef> contains the following elements (see [AdditionalReference4 on page 2021](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

75.4.3 PreviousReference <PrvsRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference4](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

75.4.4 RelatedReference <RltdRef>

Presence: [0..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference4](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

75.4.5 AdviceDetails <Advcdtls>

Presence: [1..1]

Definition: Information about the cancellation advice.

AdviceDetails <Advcdtls> contains one of the following **Advice1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrderConfirmationAdviceDetails <OrdrConfAdvcdtls>	[1..*]			1578
	MasterReference <MstrRef>	[0..1]	Text		1579
	OrderReference <OrdrRef>	[0..1]	Text		1579
	ClientReference <ClntRef>	[0..1]	Text		1579
	DealReference <DealRef>	[0..1]	Text		1579
	ConfirmationType <ConfTp>	[1..1]	CodeSet		1580
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1580
	OrderExecutionDetails <OrdrExctnDtls>	[0..1]			1580
{Or	SubscriptionDetails <SbcptDtls>	[1..1]	±		1580
Or	RedemptionDetails <RedDtls>	[1..1]			1581
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1581
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	1581
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1582
Or}	SwitchDetails <SwchDtls>	[1..1]	±		1583
Or}	StatementAdviceDetails <StmntAdvcdtls>	[1..1]			1583
	Reference <Ref>	[1..1]	Text		1584
	StatementDateTime <StmntDtTm>	[1..1]	±		1584
	CreationDateTime <CreDtTm>	[0..1]	±		1584
	ReportNumber <RptNb>	[0..1]	Text		1584
	StatementType <StmntTp>	[1..1]	CodeSet		1585
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1585
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1585

75.4.5.1 OrderConfirmationAdviceDetails <OrdrConfAdvcdtls>

Presence: [1..*]

Definition: Reference and transaction details of the order confirmation for which the cancellation is given.

OrderConfirmationAdviceDetails <OrdrConfAdvcDtls> contains the following **InvestmentFundOrderExecution3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		1579
	OrderReference <OrdrRef>	[0..1]	Text		1579
	ClientReference <ClntRef>	[0..1]	Text		1579
	DealReference <DealRef>	[0..1]	Text		1579
	ConfirmationType <ConfTp>	[1..1]	CodeSet		1580
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1580
	OrderExecutionDetails <OrdrExctnDtls>	[0..1]			1580
{Or	SubscriptionDetails <SbcptDtls>	[1..1]	±		1580
Or	RedemptionDetails <RedDtls>	[1..1]			1581
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1581
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	1581
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1582
Or}	SwitchDetails <SwchDtls>	[1..1]	±		1583

75.4.5.1.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text on page 3409](#)

75.4.5.1.2 OrderReference <OrdrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for an order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

75.4.5.1.3 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

75.4.5.1.4 DealReference <DealRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for an order execution, as assigned by the executing party.

Datatype: [Max35Text on page 3409](#)

75.4.5.1.5 ConfirmationType <ConfTp>

Presence: [1..1]

Definition: Specifies the kind of order confirmation for the cancellation.

Datatype: [FundOrderType1Code on page 3284](#)

CodeName	Name	Definition
SUBS	Subscription	Investment fund order is a subscription.
REDM	Redemption	Investment fund order is a redemption.
SWIT	Switch	Investment fund order is a switch.

75.4.5.1.6 AmendmentIndicator <AmdmntInd>

Presence: [0..1]

Definition: Indicates whether a new message, as a replacement for the confirmation being cancelled, will follow the cancellation or not.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

75.4.5.1.7 OrderExecutionDetails <OrdExctnDtls>

Presence: [0..1]

Definition: Extract of subscription execution, redemption execution or switch execution order data.

OrderExecutionDetails <OrdExctnDtls> contains one of the following **SubscriptionOrRedemptionOrSwitchOrderExecutionDataChoice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SubscriptionDetails <SbcptDtls>	[1..1]	±		1580
Or	RedemptionDetails <RedDtls>	[1..1]			1581
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1581
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	1581
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1582
Or}	SwitchDetails <SwtchDtls>	[1..1]	±		1583

75.4.5.1.7.1 SubscriptionDetails <SbcptDtls>

Presence: [1..1]

Definition: Subscription order confirmation data.

SubscriptionDetails <SbcptDtls> contains the following elements (see [SubscriptionExecution8](#) on page 2212 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		2213
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	2213
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		2214

75.4.5.1.7.2 RedemptionDetails <RedDtls>

Presence: [1..1]

Definition: Redemption order confirmation data.

RedemptionDetails <RedDtls> contains the following **RedemptionExecution11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1581
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	1581
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		1582

75.4.5.1.7.2.1 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the subscription order / subscription order confirmation for which the advice is given.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30](#) on page 2152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

75.4.5.1.7.2.2 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..1]

Definition: Financial instrument information of the subscription order / subscription order confirmation for which the advice is given.

Impacted by: [C10 NameRule](#), [C9 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument18](#) on page 1908 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <SctyId>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <OthrId>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueldentificationDate <SrsIsseldDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <NewIsselnd>	[0..1]	Indicator		1911
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

75.4.5.1.7.2.3 FinancialInstrumentQuantity <FinInstrmQty>

Presence: [0..1]

Definition: Quantity of an order.

FinancialInstrumentQuantity <FinInstrmQty> contains the following elements (see [FinancialInstrumentQuantity3](#) on page 1965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	±		1965
	OrderedAmount <OrdrdAmt>	[0..1]	Amount	C3, C12	1965
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1966
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C12	1967
	ExecutedAmount <ExctdAmt>	[0..1]	Amount	C2, C10	1968
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		1968
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	1968

75.4.5.1.7.3 SwitchDetails <SwchDtls>

Presence: [1..1]

Definition: Switch order confirmation data.

SwitchDetails <SwchDtls> contains the following elements (see [SwitchExecution5](#) on page 2344 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		2344
	RedemptionLeg <RedLeg>	[1..*]			2345
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		2345
	LegIdentification <LegId>	[0..1]	Text		2345
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		2345
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	2346
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		2347
	SubscriptionLeg <SbcptLeg>	[1..*]			2347
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		2348
	LegIdentification <LegId>	[0..1]	Text		2348
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		2348
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	2348
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		2349

75.4.5.2 StatementAdviceDetails <StmntAdvcdtls>

Presence: [1..1]

Definition: Reference and transaction details of the statement for which the cancellation is given.

StatementAdviceDetails <StmntAdvcdtls> contains the following **Statement9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1584
	StatementDateTime <StmntDtTm>	[1..1]	±		1584
	CreationDateTime <CreDtTm>	[0..1]	±		1584
	ReportNumber <RptNb>	[0..1]	Text		1584
	StatementType <StmntTp>	[1..1]	CodeSet		1585
	AmendmentIndicator <AmdmntInd>	[0..1]	Indicator		1585
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1585

75.4.5.2.1 Reference <Ref>

Presence: [1..1]

Definition: Reference of the statement.

Datatype: [Max35Text on page 3409](#)

75.4.5.2.2 StatementDateTime <StmntDtTm>

Presence: [1..1]

Definition: Date of the statement.

StatementDateTime <StmntDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

75.4.5.2.3 CreationDateTime <CreDtTm>

Presence: [0..1]

Definition: Preparation date of the statement.

CreationDateTime <CreDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

75.4.5.2.4 ReportNumber <RptNb>

Presence: [0..1]

Definition: Sequential number of the statement.

Datatype: [Max5NumericText on page 3410](#)

75.4.5.2.5 StatementType <StmntTp>

Presence: [1..1]

Definition: Specifies the statement message.

Datatype: [StatementType1Code on page 3358](#)

CodeName	Name	Definition
ST03	AccountingHoldings	Accounting Statement of Holdings (semt 003).
ST02	CustodyHoldings	Custody Statement of Holdings (semt 002).
ST06	InvestmentFundTransactions	Statement of Investment Fund Transactions (semt 006).

75.4.5.2.6 AmendmentIndicator <AmdmntInd>

Presence: [0..1]

Definition: Indicates whether a new message, as a replacement for the statement being cancelled, will follow the cancellation or not.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

75.4.5.2.7 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the statement for which the cancellation is given.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30 on page 2152](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

75.4.6 CopyDetails <CpyDtls>

Presence: [0..1]

Definition: Information provided when the message is a copy of a previous message.

CopyDetails <CpyDtls> contains the following elements (see [CopyInformation2](#) on page 2358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2358
	OriginalReceiver <OrgnlRcvr>	[0..1]	±		2359

75.4.7 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C8 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

76 Message Items Types

76.1 MessageComponents

76.1.1 Account

76.1.1.1 SecuritiesAccount19

Definition: Account to or from which a securities entry is made.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	Name <Nm>	[0..1]	Text		1587

76.1.1.1.1 Identification <Id>

Presence: [1..1]

Definition: Unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text on page 3409](#)

76.1.1.1.2 Type <Tp>

Presence: [0..1]

Definition: Specifies the type of securities account.

Type <Tp> contains the following elements (see [GenericIdentification30 on page 2012](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.1.1.3 Name <Nm>

Presence: [0..1]

Definition: Description of the account.

Datatype: [Max70Text on page 3410](#)

76.1.1.2 GenericAccountIdentification1

Definition: Information related to a generic account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.1.2.1 Identification <Id>

Presence: [1..1]

Definition: Identification assigned by an institution.

Datatype: [Max34Text on page 3409](#)

76.1.1.2.2 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Name of the identification scheme.

SchemeName <SchmeNm> contains one of the following **AccountSchemeName1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588

76.1.1.2.2.1 Code <Cd>

Presence: [1..1]

Definition: Name of the identification scheme, in a coded form as published in an external list.

Datatype: [ExternalAccountIdentification1Code on page 3279](#)

76.1.1.2.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Name of the identification scheme, in a free text form.

Datatype: [Max35Text on page 3409](#)

76.1.1.2.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: [Max35Text on page 3409](#)

76.1.1.3 ConfirmationType1Choice

Definition: Choice of formats for a confirmation type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1589
Or}	Proprietary <Prtry>	[1..1]	±		1589

76.1.1.3.1 Code <Cd>

Presence: [1..1]

Definition: Confirmation type expressed as a code.

Datatype: [AccountManagementType2Code on page 3242](#)

CodeName	Name	Definition
ACCO	AccountOpening	Refers to an account opening instruction message.
ACCM	AccountModification	Refers to an account modification instruction message.
GACC	GetAccountDetails	Refers to a get account details message.

76.1.1.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Confirmation type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.1.4 AccountOpeningType1Choice

Definition: Choice of formats for the account opening type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1589
Or}	Proprietary <Prtry>	[1..1]	±		1590

76.1.1.4.1 Code <Cd>

Presence: [1..1]

Definition: Type of account opening instruction expressed as a code.

Datatype: [AccountOpeningType1Code on page 3243](#)

CodeName	Name	Definition
NEWA	NewAccountOpening	Account request is to open a new account.
SUPA	SupplementaryAccountOpening	Account request is to open a supplementary account, that is, based on an existing account.

76.1.1.4.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of account opening instruction expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.1.5 Account23

Definition: Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1590
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		1590

76.1.1.5.1 AccountIdentification <AcctId>

Presence: [1..1]

Definition: Identification of the account.

Datatype: [Max35Text](#) on page 3409

76.1.1.5.2 RelatedAccountDetails <RltdAcctDtls>

Presence: [0..1]

Definition: Information about the account to which the existing account is to be linked.

RelatedAccountDetails <RltdAcctDtls> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.1.6 AccountType2Choice

Definition: Choice of formats for the specification of the type of account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1591
Or}	Proprietary <Prtry>	[1..1]	±		1591

76.1.1.6.1 Code <Cd>

Presence: [1..1]

Definition: Type of account expressed as a code.

Datatype: [FundCashAccount4Code](#) on page 3283

CodeName	Name	Definition
HEDG	HedgeFund	Hedge fund account.
CPFO	PensionFundOrdinary	Central Provident Fund (CPF) ordinary account.
CPFS	PensionFundSpecial	Central Provident Fund (CPF) special account.
SRSA	RetirementScheme	Supplementary Retirement Scheme (SRS) account.
CSDO	CSDOmnibusAccount	Account operated by a CSD in cross-CSD settlement context.
TOFF	TechnicalOffsetAccount	Account operated by a CSD in a direct holding market context.
ICSA	InterCSDAccount	Account operated by a CSD for settlement of securities legs for instructions involving internal CSDs.
CSDM	CSDMirrorAccount	Account operated by a CSD for mirroring positions.
CSDP	CSDParticipantAccount	Account owned by a CSD participant.
PPEN	PrivatePensionScheme	Private pension account.
CPEN	WorkplacePensionSchema	Workplace or company pension account.

76.1.1.6.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of account expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.1.7 SecuritiesAccount5

Definition: Account to or from which a securities entry is made.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1592
	Name <Nm>	[0..1]	Text		1592

76.1.1.7.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text](#) on page 3409

76.1.1.7.2 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max70Text](#) on page 3410

76.1.2 Account Identification

76.1.2.1 Account2

Definition: Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	±		1592
	AccountServicer <AcctSvcr>	[1..1]	±		1593

76.1.2.1.1 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Identification <Id> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

76.1.2.1.2 AccountServicer <AcctSvcr>

Presence: [1..1]

Definition: Institution servicing an account and assigning the account identifier to the account owner.

AccountServicer <AcctSvcr> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.2.2 CashAccountIdentification8Choice

Definition: Specifies the unique identification of an account as assigned by the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Other <Othr>	[1..1]	±		1593
Or}	IBAN <IBAN>	[1..1]	IdentifierSet	C16	1593

76.1.2.2.1 Other <Othr>

Presence: [1..1]

Definition: Unique identification of an account, as assigned by the account servicer, using an identification scheme.

Other <Othr> contains the following elements (see [GenericAccountIdentification1](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.2.2.2 IBAN <IBAN>

Presence: [1..1]

Definition: International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of a customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

Impacted by: C16 IBAN

Datatype: IBAN2007Identifier on page 3398

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

76.1.2.3 InvestmentAccount69

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1594
	Designation <Dsgnt>	[0..1]	Text		1594
	AccountName <AcctNm>	[0..1]	Text		1595
	Servicer <Svcr>	[0..1]	±		1595

76.1.2.3.1 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: Max35Text on page 3409

76.1.2.3.2 Designation <Dsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: Max35Text on page 3409

76.1.2.3.3 AccountName <AcctNm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text on page 3409](#)

76.1.2.3.4 Servicer <Svcr>

Presence: [0..1]

Definition: Institution that maintains the records where the account is held.

Servicer <Svcr> contains the following elements (see [PartyIdentification132 on page 2602](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

76.1.2.4 SubAccountIdentification3

Definition: Account to or from which a securities entry is made.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1595
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1596
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1596
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C6	1596

76.1.2.4.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Identification <Id> contains one of the following elements (see [AccountIdentificationFormatChoice](#) on page 1604 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmpIId>	[1..1]	±		1604
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1604
	Identification <Id>	[1..1]	±		1604
	Purpose <Purp>	[1..1]	CodeSet		1605
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1605

76.1.2.4.2 FungibleIndicator <Fngblnd>

Presence: [1..1]

Definition: Indicates whether the securities in the account are fungible, ie, interchangeable.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.2.4.3 ActivityIndicator <ActvtyInd>

Presence: [1..1]

Definition: Indicates whether there is activity reported in the statement.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.2.4.4 BalanceForSubAccount <BalForSubAcct>

Presence: [0..*]

Definition: Net position of a segregated holding, in a single security, within the overall position held in a securities account.

Impacted by: [C1 AccruedInterestAmountSignRule](#), [C6 BalanceAtSafekeepingPlaceRule](#)

BalanceForSubAccount <BalForSubAcct> contains the following elements (see [AggregateBalanceInformation3](#) on page 1652 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1653
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1653
	HoldingValue <HldgVal>	[1..*]	Amount	C3, C12	1653
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1654
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1655
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1655
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1655
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1656
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1657
	PriceDetails <PricDtls>	[1..*]	±	C15	1657
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1658
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1658
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1659
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]	±	C2	1659

Constraints

- **AccruedInterestAmountSignRule**

(Rule)

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **BalanceAtSafekeepingPlaceRule**

(Rule)

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

76.1.2.5 SubAccountIdentification5

Definition: Account to or from which a securities entry is made.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1598
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1598
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1598
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C8, C5	1598

76.1.2.5.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Identification <Id> contains one of the following elements (see [AccountIdentificationFormatChoice](#) on page 1604 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmpIld>	[1..1]	±		1604
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1604
	Identification <Id>	[1..1]	±		1604
	Purpose <Purp>	[1..1]	CodeSet		1605
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1605

76.1.2.5.2 FungibleIndicator <Fngblnd>

Presence: [1..1]

Definition: Indicates whether the securities in the account are fungible, ie, interchangeable.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.2.5.3 ActivityIndicator <ActvtyInd>

Presence: [1..1]

Definition: Indicates whether there is activity reported in the statement.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.2.5.4 BalanceForSubAccount <BalForSubAcct>

Presence: [0..*]

Definition: Net position of a segregated holding, in a single security, within the overall position held in a securities account.

Impacted by: C1 AccruedInterestAmountSignRule, C8 BalanceAtSafekeepingPlaceRule, C5 AggregateQuantityGuideline

BalanceForSubAccount <BalForSubAcct> contains the following elements (see [AggregateBalanceInformation4](#) on page 1660 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1662
	AvailableQuantity <AvlblQty>	[0..1]	±		1662
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1663
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1663
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1663
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1664
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1664
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1665
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1665
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1666
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1666
	PriceDetails <PricDtls>	[0..*]	±	C15	1667
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1668
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1668
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1668
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]		C2, C6	1669
	AggregateQuantity <AggtQty>	[1..1]	±		1670
	AvailableQuantity <AvlblQty>	[0..1]	±		1670
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1670
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1670
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1671
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1671
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1672
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1673
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1673
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1674

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceDetails <PricDtls>	[0..*]	±	C15	1674
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1675
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1675
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1675

Constraints

- **AccruedInterestAmountSignRule**

(Rule)

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **AggregateQuantityGuideline**

(Guideline)

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

- **BalanceAtSafekeepingPlaceRule**

(Rule)

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

76.1.2.6 AccountIdentificationAndName5

Definition: Identification of the account expressed with a name and an account number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.2.6.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Identification <Id> contains one of the following elements (see [AccountIdentification4Choice](#) on page 1606 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C16	1606
Or}	Other <Othr>	[1..1]	±		1607

76.1.2.6.2 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text on page 3409](#)

76.1.2.7 SubAccount5

Definition: Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1602
	Name <Nm>	[0..1]	Text		1602
	Characteristic <Chrtc>	[0..1]	Text		1602

76.1.2.7.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text on page 3409](#)

76.1.2.7.2 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text on page 3409](#)

76.1.2.7.3 Characteristic <Chrtc>

Presence: [0..1]

Definition: Specifies additional properties of the account.

Datatype: [Max35Text on page 3409](#)

76.1.2.8 CashAccountIdentification1Choice

Definition: Choice between formats for the identification of a cash account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C11	1603
Or	BBAN <BBAN>	[1..1]	IdentifierSet		1603
Or	UPIC <UPIC>	[1..1]	IdentifierSet		1603
Or}	DomesticAccount <DmstAcct>	[1..1]	±		1603

76.1.2.8.1 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: C11 IBAN

Datatype: IBANIdentifier on page 3399

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits

76.1.2.8.2 BBAN <BBAN>

Presence: [1..1]

Definition: Basic Bank Account Number (BBAN) - identifier used nationally by financial institutions, ie, in individual countries, generally as part of a National Account Numbering Scheme(s), to uniquely identify the account of a customer.

Datatype: BBANIdentifier on page 3393

76.1.2.8.3 UPIC <UPIC>

Presence: [1..1]

Definition: Universal Payment Identification Code (UPIC) - identifier used by the New York Clearing House to mask confidential data, such as bank accounts and bank routing numbers. UPIC numbers remain with business customers, regardless of banking relationship changes.

Datatype: UPICIdentifier on page 3404

76.1.2.8.4 DomesticAccount <DmstAcct>

Presence: [1..1]

Definition: Account number used by financial institutions in individual countries to identify an account of a customer, but not necessarily the bank and branch of the financial institution in which the account is held.

DomesticAccount <DmstAcct> contains the following elements (see [SimpleIdentificationInformation on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016

76.1.2.9 AccountIdentificationFormatChoice

Definition: Choice between formats for account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmpIId>	[1..1]	±		1604
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1604
	Identification <Id>	[1..1]	±		1604
	Purpose <Purp>	[1..1]	CodeSet		1605
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1605

76.1.2.9.1 SimpleIdentification <SmpIId>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

SimpleIdentification <SmpIId> contains the following elements (see [AccountIdentification1 on page 1608](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

76.1.2.9.2 IdentificationAndPurpose <IdAndPurp>

Presence: [1..1]

Definition: Identification of the account expressed with an account number and a code.

IdentificationAndPurpose <IdAndPurp> contains the following **AccountIdentificationAndPurpose** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1604
	Purpose <Purp>	[1..1]	CodeSet		1605

76.1.2.9.2.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Identification <Id> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

76.1.2.9.2.2 Purpose <Purp>

Presence: [1..1]

Definition: Specifies the purpose of the account.

Datatype: [SecuritiesAccountPurposeType1Code](#) on page 3348

CodeName	Name	Definition
MARG	Margin	Account is used when financing is done by the broker.
SHOR	ShortSale	Account is used for short sale orders.
ABRD	Abroad	Account is located in a financial institution outside the country where the transaction is taking place.
CEND	Centralised	Account and all its related positions are held in one location.
DVPA	CashDVP	Account is used for settlement upon delivery, or a collection on a delivery basis.
PHYS	Physical	Account is used for physical domestic safekeeping.

76.1.2.9.3 IdentificationAsDSS <IdAsDSS>

Presence: [1..1]

Definition: Identification of the account expressed with a data source scheme, a code used within the data source scheme and the account identification.

IdentificationAsDSS <IdAsDSS> contains the following elements (see [AccountIdentification3](#) on page 1607 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1607
	Issuer <Issr>	[1..1]	Text		1608
	Information <Inf>	[1..1]	Text		1608

76.1.2.10 AccountIdentificationAndName3

Definition: Identification of the account expressed with a name and an account number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1606
	Name <Nm>	[0..1]	Text		1606

76.1.2.10.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Identification <Id> contains one of the following elements (see [CashAccountIdentification1Choice](#) on page 1602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C11	1603
Or	BBAN <BBAN>	[1..1]	IdentifierSet		1603
Or	UPIC <UPIC>	[1..1]	IdentifierSet		1603
Or}	DomesticAccount <DmstAcct>	[1..1]	±		1603

76.1.2.10.2 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.2.11 AccountIdentification4Choice

Definition: Specifies the unique identification of an account as assigned by the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C16	1606
Or}	Other <Othr>	[1..1]	±		1607

76.1.2.11.1 IBAN <IBAN>

Presence: [1..1]

Definition: International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of a customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

Impacted by: [C16 IBAN](#)

Datatype: [IBAN2007Identifier](#) on page 3398

Constraints

• **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

76.1.2.11.2 Other <Othr>

Presence: [1..1]

Definition: Unique identification of an account, as assigned by the account servicer, using an identification scheme.

Other <Othr> contains the following elements (see [GenericAccountIdentification1](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.2.12 AccountIdentification3

Definition: Identification of the account expressed with a data source scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1607
	Issuer <Issr>	[1..1]	Text		1608
	Information <Inf>	[1..1]	Text		1608

76.1.2.12.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Identification <Id> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

76.1.2.12.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the information.

Datatype: [Max8Text](#) on page 3410

76.1.2.12.3 Information <Inf>

Presence: [1..1]

Definition: Proprietary information, often a code, issued by the data source scheme issuer.

Datatype: [Exact4AlphaNumericText](#) on page 3407

76.1.2.13 AccountIdentification1

Definition: Unique identifier of an account, as assigned by the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

76.1.2.13.1 Proprietary <Prtry>

Presence: [1..1]

Definition: Unique identifier for an account. It is assigned by the account servicer using a proprietary identification scheme.

Proprietary <Prtry> contains the following elements (see [SimpleIdentificationInformation](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016

76.1.2.14 Account7

Definition: Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1609
	AccountServicer <AcctSvcr>	[0..1]	±		1609

76.1.2.14.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Identification <Id> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

76.1.2.14.2 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Institution servicing an account and assigning the account identifier to the account owner.

AccountServicer <AcctSvcr> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.3 Address

76.1.3.1 CommunicationAddress6

Definition: Communication device number or electronic address used for communication.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1609
{Or	Code <Cd>	[1..1]	CodeSet		1610
Or}	Proprietary <Prtry>	[1..1]	±		1610
	Email <Email>	[0..1]	Text		1610
	Phone <Phne>	[0..1]	Text		1610
	Mobile <Mob>	[0..1]	Text		1610
	FaxNumber <FaxNb>	[0..1]	Text		1611
	TelexAddress <TlxAdr>	[0..1]	Text		1611
	URLAddress <URLAdr>	[0..1]	Text		1611

76.1.3.1.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Type of communication address.

AddressType <AdrTp> contains one of the following **AddressType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1610
Or}	Proprietary <Prtry>	[1..1]	±		1610

76.1.3.1.1.1 Code <Cd>

Presence: [1..1]

Definition: Type expressed as a code.

Datatype: [AddressType1Code on page 3247](#)

CodeName	Name	Definition
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.

76.1.3.1.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.3.1.2 Email <Email>

Presence: [0..1]

Definition: Address for electronic mail (e-mail).

Datatype: [Max256Text on page 3408](#)

76.1.3.1.3 Phone <Phne>

Presence: [0..1]

Definition: Collection of information that identifies a phone number, as defined by telecom services.

Datatype: [PhoneNumber on page 3410](#)

76.1.3.1.4 Mobile <Mob>

Presence: [0..1]

Definition: Collection of information that identifies a mobile phone number, as defined by telecom services.

Datatype: [PhoneNumber on page 3410](#)

76.1.3.1.5 FaxNumber <FaxNb>

Presence: [0..1]

Definition: Collection of information that identifies a FAX number, as defined by telecom services.

Datatype: [PhoneNumber on page 3410](#)

76.1.3.1.6 TelexAddress <TlxAdr>

Presence: [0..1]

Definition: Address for a telex machine.

Datatype: [Max35Text on page 3409](#)

76.1.3.1.7 URLAddress <URLAdr>

Presence: [0..1]

Definition: Address for the Universal Resource Locator (URL), for example, used over the www (HTTP) service.

Datatype: [Max256Text on page 3408](#)

76.1.4 Amount

76.1.4.1 RoundingParameters1

Definition: Parameters applied to a fractional number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RoundingModulus <RndgMdlus>	[0..1]	Quantity		1611
	RoundingDirection <RndgDrctn>	[1..1]	CodeSet		1611

76.1.4.1.1 RoundingModulus <RndgMdlus>

Presence: [0..1]

Definition: Float value specifying the value to which rounding is required, eg, 10 means round to a multiple of 10 units/shares, 0.5 means round to a multiple of 0.5 units/shares.

Datatype: [DecimalNumber on page 3405](#)

76.1.4.1.2 RoundingDirection <RndgDrctn>

Presence: [1..1]

Definition: Rounding direction applied to fractional numbers, eg, round up.

Datatype: [RoundingDirection1Code on page 3347](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

CodeName	Name	Definition
STAN	RoundToNearest	Round up or down to the nearest whole number.
DIST	IssueFraction	Do not round.

76.1.4.2 DateAndAmount2

Definition: Date and amount.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

76.1.4.2.1 Date <Dt>

Presence: [0..1]

Definition: Date on which the amount is declared or registered.

Datatype: [ISODate on page 3391](#)

76.1.4.2.2 Amount <Amt>

Presence: [1..1]

Definition: Amount of money.

Impacted by: [C3 ActiveOrHistoricCurrency](#) ____, [C12 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.4.3 DateAndAmount1

Definition: Date and amount.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1613
	Amount <Amt>	[1..1]	Amount	C2, C10	1613

76.1.4.3.1 Date <Dt>

Presence: [1..1]

Definition: Date on which the amount is declared or registered.

Datatype: ISODate on page 3391

76.1.4.3.2 Amount <Amt>

Presence: [1..1]

Definition: Amount of money.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.4.4 InitialAmount1Choice

Definition: Choice of an initial amount or number of pre-paid instalments.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	InitialNumberOfInstalments <InitlNbOfInstlmts>	[1..1]	Quantity		1614
Or}	Amount <Amt>	[1..1]	Amount	C2, C10	1614

76.1.4.4.1 InitialNumberOfInstalments <InitlNbOfInstlmts>

Presence: [1..1]

Definition: Number of pre-paid instalment periods at the time the investment plan is created.

Datatype: Number on page 3405

76.1.4.4.2 Amount <Amt>

Presence: [1..1]

Definition: Amount to be paid or redeemed at the time the investment plan is created.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5 Balance

76.1.5.1 AdditionalBalanceInformation2

Definition: Net position of a segregated holding of a single security within the overall position held in the securities account, eg, sub-balance per status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1615
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1615
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1616

76.1.5.1.1 Quantity <Qty>

Presence: [1..1]

Definition: Quantity of securities in the sub-balance.

Quantity <Qty> contains one of the following elements (see [SubBalanceQuantity1Choice](#) on page 1695 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1695
Or	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1695
Or}	QuantityAndAvailability <QtyAndAvlby>	[1..1]			1696
	Quantity <Qty>	[1..1]	±		1696
	AvailabilityIndicator <AvlbyInd>	[1..1]	Indicator		1696

76.1.5.1.2 SubBalanceType <SubBalTp>

Presence: [1..1]

Warning Either SubBalanceType or ExtendedSubBalanceType must be present, but not both.

Definition: Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

Datatype: [SecuritiesBalanceType2Code](#) on page 3352

CodeName	Name	Definition
CLEN	TaxExempt	Balance of tax-exempt securities.
DIRT	NonTaxExempt	Balance of taxable securities.

CodeName	Name	Definition
NOMI	Registered	Balance of securities that are registered (in the name of a nominee or of the beneficial owner).
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
SPOS	StreetPosition	Balance of securities that remain registered in the name of the prior beneficial owner of securities.
UNRG	Unregistered	Balance of securities that could not be registered due to foreign ownership limitation.

76.1.5.1.3 ExtendedSubBalanceType <XtndedSubBalTp>

Presence: [1..1]

Warning Either SubBalanceType or ExtendedSubBalanceType must be present, but not both.

Definition: Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

Datatype: [Extended350Code on page 3407](#)

76.1.5.2 PaginationBalance1

Definition: Balance of a financial instrument for a specific statement page.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FirstOpeningBalance <FrstOpngBal>	[0..1]	±		1616
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[0..1]	±		1617
{Or	FinalClosingBalance <FnlClsgBal>	[0..1]	±		1617
Or}	IntermediaryClosingBalance <IntrmyClsgBal>	[0..1]	±		1617

76.1.5.2.1 FirstOpeningBalance <FrstOpngBal>

Presence: [0..1]

Warning Either FirstOpeningBalance or IntermediaryOpeningBalance may be present, but not both.

Definition: Opening balance of the financial instrument in the statement.

FirstOpeningBalance <FrstOpngBal> contains the following elements (see [FinancialInstrumentQuantity1 on page 2910](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.5.2.2 IntermediaryOpeningBalance <IntrmyOpngBal>

Presence: [0..1]

Warning Either FirstOpeningBalance or IntermediaryOpeningBalance may be present, but not both.

Definition: Opening balance of this page only. It must be the interemdiary closing balance of the previous page (part of the same statement).

IntermediaryOpeningBalance <IntrmyOpngBal> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.5.2.3 FinalClosingBalance <FnIClsgBal>

Presence: [0..1]

Warning Either FinalClosingBalance or IntermediaryClosingBalance may be present, but not both.

Definition: Closing balance of the financial instrument in the statement.

FinalClosingBalance <FnIClsgBal> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.5.2.4 IntermediaryClosingBalance <IntrmyClsgBal>

Presence: [0..1]

Warning Either FinalClosingBalance or IntermediaryClosingBalance may be present, but not both.

Definition: Closing Balance of this page only. Must be the interemdiary opening balance of the next page (part of the same statement).

IntermediaryClosingBalance <IntrmyClsgBal> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.5.3 AggregateBalanceInformation5

Definition: Net position of a segregated holding of a single security within the overall position held in the securities account, eg, sub-balance per status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1618
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1618
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1619
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1620
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C10, C9	1621
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1621
	SubBalanceInformation <SubBallnf>	[0..*]	±		1622
	PriceDetails <PricDtls>	[0..*]	±		1622
	EqualisationBalance <EqualstnBal>	[0..1]	±		1622
	ForeignExchangeDetails <FrgnXchgDtls>	[0..1]	±		1623

Constraints

- **AggregateQuantityGuideline**

(Guideline)

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

76.1.5.3.1 AggregateQuantity <AggtQty>

Presence: [1..1]

Definition: Total quantity of financial instrument for the referenced holding.

AggregateQuantity <AggtQty> contains one of the following elements (see [BalanceQuantity1Choice](#) on page 1699 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1699
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1700

76.1.5.3.2 HoldingValue <HldgVal>

Presence: [0..*]

Definition: Total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.3.3 PreviousHoldingValue <PrvsHldgVal>

Presence: [0..1]

Definition: Previous total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006

– *Error Text*: Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00007

– *Error Text*: Invalid currency code or too many decimal digits.

76.1.5.3.4 BookValue <BookVal>

Presence: [0..1]

Definition: Value of a security, as booked in an account. Book value is often different from the current market value of the security.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00006

– *Error Text*: Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00007

– *Error Text*: Invalid currency code or too many decimal digits.

76.1.5.3.5 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class held on the account for which the balance is calculated.

Impacted by: [C10 NameRule](#), [C9 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument18](#) on page 1908 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <SctyId>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <OthrId>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueIdentificationDate <SrsIsseldDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <NewIsselnd>	[0..1]	Indicator		1911
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

76.1.5.3.6 BalanceBreakdownDetails <BalBrkdwnDtls>

Presence: [0..*]

Definition: Net position of a segregated holding of a single security within the overall position held in the securities account, eg, sub-balance per status.

BalanceBreakdownDetails <BalBrkDwnDtls> contains the following elements (see [AdditionalBalanceInformation3](#) on page 1676 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1677
	AdditionalBalanceInformation <AddtlBalInf>	[1..1]	±		1677

76.1.5.3.7 SubBalanceInformation <SubBalInf>

Presence: [0..*]

Definition: Information relating to a sub balance of the investment fund.

SubBalanceInformation <SubBalInf> contains the following elements (see [SubBalanceInformation3](#) on page 1676 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1676
	SubBalanceType <SubBalTp>	[1..1]	±		1676

76.1.5.3.8 PriceDetails <PricDtls>

Presence: [0..*]

Definition: Price of the financial instrument.

PriceDetails <PricDtls> contains the following elements (see [PricInformation3](#) on page 2862 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2862
	PriceType <PricTp>	[1..1]	±		2862
	SourceOfPrice <SrcOfPric>	[0..1]			2863
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2863
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2863
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2863
	QuotationDate <QtnDt>	[0..1]	±		2863
	YieldedIndicator <YlddInd>	[0..1]	Indicator		2864

76.1.5.3.9 EqualisationBalance <EqualstnBal>

Presence: [0..1]

Definition: Part of an investor's subscription amount that is held by the fund in order to pay incentive / performance fees at the end of the fiscal year.

EqualisationBalance <EquilstnBal> contains the following elements (see [Equalisation2](#) on page 2343 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	2343
	Rate <Rate>	[0..1]	Rate		2343
	CreditDebitIndicator <CdtDbtInd>	[0..1]	CodeSet		2344

76.1.5.3.10 ForeignExchangeDetails <FrngXchgDtls>

Presence: [0..1]

Definition: Currency exchange related to a securities order.

ForeignExchangeDetails <FrngXchgDtls> contains the following elements (see [ForeignExchangeTerms6](#) on page 1993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C3	1993
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C3	1994
	ExchangeRate <XchgRate>	[1..1]	Rate		1994
	QuotationDate <QtnDt>	[0..1]	DateTime		1994
	QuotingInstitution <QtgInstn>	[0..1]	±		1994

76.1.5.4 StatementOfInvestmentFundTransactions2

Definition: Information about a statement of investment fund transactions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementGeneralDetails <StmntGnlDtls>	[0..1]			1625
	Reference <Ref>	[1..1]	Text		1625
	StatementPeriod <StmntPrd>	[1..1]	±		1625
	CreationDateTime <CreDtTm>	[0..1]	±		1625
	Frequency <Frqcy>	[0..1]	CodeSet		1626
	UpdateType <UpdTp>	[1..1]	CodeSet		1626
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1626
	ReportNumber <RptNb>	[0..1]	Text		1627
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		1627
	TransactionOnAccount <TxOnAcct>	[0..*]			1627
	Identification <Id>	[1..1]	±		1628
	Name <Nm>	[0..1]	Text		1629
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1629
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1629
	ClassType <ClsTp>	[0..1]	Text		1629
	DistributionPolicy <DstrbtnPcly>	[0..1]	CodeSet		1629
	TransactionDetails <TxDtls>	[1..*]	±	C9, C10	1629
	BalanceByPage <BalByPg>	[0..1]	±		1631
	SubAccountDetails <SubAcctDtls>	[1..1]		C8	1631
	Identification <Id>	[1..1]	±		1632
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1632
	TransactionOnSubAccount <TxOnSubAcct>	[0..*]			1633
	Identification <Id>	[1..1]	±		1633
	Name <Nm>	[0..1]	Text		1634
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1634
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1634
	ClassType <ClsTp>	[0..1]	Text		1635
	DistributionPolicy <DstrbtnPcly>	[0..1]	CodeSet		1635
	TransactionDetails <TxDtls>	[1..*]	±	C9, C10	1635
	BalanceByPage <BalByPg>	[0..1]	±		1637
	Extension <Xtnsn>	[0..*]	±	C16	1637

Constraints

- **TransactionOnAccountOrSubAccountDetailsRule**

(Rule)

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either TransactionOnAccount or SubAccountDetails must be present. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then TransactionOnAccount and SubAccountDetails are not allowed.

76.1.5.4.1 StatementGeneralDetails <StmntGnlDtls>

Presence: [0..1]

Definition: General information related to the investment fund statement of transactions that is being cancelled.

StatementGeneralDetails <StmntGnlDtls> contains the following **Statement8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1625
	StatementPeriod <StmntPrd>	[1..1]	±		1625
	CreationDateTime <CreDtTm>	[0..1]	±		1625
	Frequency <Frqcy>	[0..1]	CodeSet		1626
	UpdateType <UpdTp>	[1..1]	CodeSet		1626
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1626
	ReportNumber <RptNb>	[0..1]	Text		1627

76.1.5.4.1.1 Reference <Ref>

Presence: [1..1]

Definition: Reference of the statement.

Datatype: [Max35Text on page 3409](#)

76.1.5.4.1.2 StatementPeriod <StmntPrd>

Presence: [1..1]

Definition: Period on which the statement is reporting.

StatementPeriod <StmntPrd> contains the following elements (see [DatePeriodDetails on page 1823](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1823
	ToDate <ToDt>	[1..1]	Date		1823

76.1.5.4.1.3 CreationDateTime <CreDtTm>

Presence: [0..1]

Definition: Creation date of the statement.

CreationDateTime <CreDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.5.4.1.4 Frequency <Frqcy>

Presence: [0..1]

Definition: Frequency of the statement.

Datatype: [EventFrequency1Code](#) on page 3276

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

76.1.5.4.1.5 UpdateType <UpdTp>

Presence: [1..1]

Definition: Specifies if the statement is complete or only contains changes.

Datatype: [StatementUpdateTypeCode](#) on page 3358

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

76.1.5.4.1.6 ActivityIndicator <ActvtyInd>

Presence: [1..1]

Definition: Indicates whether there is activity reported in the statement.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.5.4.1.7 ReportNumber <RptNb>

Presence: [0..1]

Definition: Sequential number of the statement.

Datatype: [Max5NumericText](#) on page 3410

76.1.5.4.2 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Information related to an investment account of the statement that is being cancelled.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount25](#) on page 2024 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2025
	Name <Nm>	[0..1]	Text		2025
	Designation <Dsgnt>	[0..1]	Text		2025
	IntermediaryInformation <IntrmyInf>	[0..10]	±		2025
	AccountServicer <AcctSvcr>	[0..1]	±		2026

76.1.5.4.3 TransactionOnAccount <TxOnAcct>

Presence: [0..*]

Definition: Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.

TransactionOnAccount <TxOnAcct> contains the following **InvestmentFundTransactionsByFund2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1628
	Name <Nm>	[0..1]	Text		1629
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1629
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1629
	ClassType <ClsTp>	[0..1]	Text		1629
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1629
	TransactionDetails <TxDtls>	[1..*]	±	C9, C10	1629
	BalanceByPage <BalByPg>	[0..1]	±		1631

76.1.5.4.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security by an ISIN.

Identification <Id> contains one of the following elements (see [SecurityIdentification3Choice](#) on page 2907 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2908
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2908
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2908
Or	RIC <RIC>	[1..1]	IdentifierSet		2908
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2908
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2908
Or	CTA <CTA>	[1..1]	IdentifierSet		2908
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2909
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2909
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2909
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		2909
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2909
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2909
Or	Common <Cmon>	[1..1]	IdentifierSet		2909
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2910

76.1.5.4.3.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: Max350Text on page 3409

76.1.5.4.3.3 SupplementaryIdentification <SplmtryId>

Presence: [0..1]

Definition: Additional information about a financial instrument to help identify the instrument.

Datatype: Max35Text on page 3409

76.1.5.4.3.4 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, ie, ownership, of the security, eg, registered or bearer.

Datatype: FormOfSecurity1Code on page 3281

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.5.4.3.5 ClassType <ClsstP>

Presence: [0..1]

Definition: Features of units offered by a fund. For example, a unit may have a specific load structure, eg, front end or back end, an income policy, eg, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, eg, 'Class A', 'Class 2'.

Datatype: Max35Text on page 3409

76.1.5.4.3.6 DistributionPolicy <DstrbtnPlcy>

Presence: [0..1]

Definition: Income policy relating to a class type, ie, if income is paid out or retained in the fund.

Datatype: DistributionPolicy1Code on page 3271

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

76.1.5.4.3.7 TransactionDetails <TxDtls>

Presence: [1..*]

Definition: Process of buying, selling, switching or transferring fund units.

Impacted by: C9 TransactionTypeLegExecutionIdentificationRule, C10 TransactionTypeLegIdentificationRule

TransactionDetails <TxDtls> contains the following elements (see [InvestmentFundTransaction3](#) on page 2303 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TransactionType <TxTp>	[1..1]	CodeSet		2305
Or	ExtendedTransactionType <XtndedTxTp>	[1..1]	Text		2306
Or	CorporateActionEventType <CorpActnEvtTp>	[1..1]	CodeSet		2306
Or}	ExtendedCorporateActionEventType <XtndedCorpActnEvtTp>	[1..1]	Text		2308
	BookingStatus <BookgSts>	[0..1]	CodeSet		2308
	MasterReference <MstrRef>	[0..1]	Text		2309
	OrderReference <OrdrRef>	[0..1]	Text		2309
	ClientReference <ClntRef>	[0..1]	Text		2309
	DealReference <DealRef>	[0..1]	Text		2309
	LegIdentification <LegId>	[0..1]	Text		2309
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		2309
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		2309
	SettledTransactionIndicator <SttldTxInd>	[1..1]	Indicator		2310
	RegisteredTransactionIndicator <RegdTxInd>	[1..1]	Indicator		2310
	UnitsQuantity <UnitsQty>	[1..1]	±		2310
	CreditDebit <CdtDbt>	[1..1]	CodeSet		2310
	Reversal <Rvsl>	[0..1]	CodeSet		2310
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2311
	SettlementDate <SttlmDt>	[0..1]	Date		2311
	TradeDateTime <TradDtTm>	[1..1]	±		2311
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		2312
	PartiallyExecutedIndicator <PrtlyExctdInd>	[1..1]	Indicator		2312
	PriceDetails <PricDtls>	[0..1]			2312
{Or	Type <Tp>	[1..1]	CodeSet		2312
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2313
	Value <Val>	[1..1]	±		2314
	PriceMethod <PricMtd>	[0..1]	CodeSet		2314

Constraints

- **TransactionTypeLegExecutionIdentificationRule**

(Rule)

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

- **TransactionTypeLegIdentificationRule**

(Rule)

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

76.1.5.4.3.8 BalanceByPage <BalByPg>

Presence: [0..1]

Definition: Balance of the financial instrument for this specific statement page.

BalanceByPage <BalByPg> contains the following elements (see [PaginationBalance1 on page 1616](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FirstOpeningBalance <FrstOpngBal>	[0..1]	±		1616
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[0..1]	±		1617
{Or	FinalClosingBalance <FnlClsgBal>	[0..1]	±		1617
Or}	IntermediaryClosingBalance <IntrmyClsgBal>	[0..1]	±		1617

76.1.5.4.4 SubAccountDetails <SubAcctDtls>

Presence: [1..1]

Definition: Sub-account of the safekeeping or investment account.

Impacted by: [C8 TransactionOnSubAccountRule](#)

SubAccountDetails <SubAcctDtls> contains the following **SubAccountIdentification6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1632
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1632
	TransactionOnSubAccount <TxOnSubAcct>	[0..*]			1633
	Identification <Id>	[1..1]	±		1633
	Name <Nm>	[0..1]	Text		1634
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1634
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1634
	ClassType <ClsTp>	[0..1]	Text		1635
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1635
	TransactionDetails <TxDtls>	[1..*]	±	C9, C10	1635
	BalanceByPage <BalByPg>	[0..1]	±		1637

Constraints

- **TransactionOnSubAccountRule**

(Rule)

If ActivityIndicator is "true" or "1" (Yes), then TransactionOnSubAccount must be present. If ActivityIndicator is "false" or "0" (No), then TransactionOnSubAccount is not allowed.

76.1.5.4.4.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Identification <Id> contains one of the following elements (see [AccountIdentificationFormatChoice](#) on page 1604 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmplId>	[1..1]	±		1604
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1604
	Identification <Id>	[1..1]	±		1604
	Purpose <Purp>	[1..1]	CodeSet		1605
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1605

76.1.5.4.4.2 ActivityIndicator <ActvtyInd>

Presence: [1..1]

Definition: Indicates whether there is activity reported in the statement.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.5.4.4.3 TransactionOnSubAccount <TxOnSubAcct>

Presence: [0..*]

Definition: Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.

TransactionOnSubAccount <TxOnSubAcct> contains the following **InvestmentFundTransactionsByFund2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1633
	Name <Nm>	[0..1]	Text		1634
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1634
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1634
	ClassType <ClsTp>	[0..1]	Text		1635
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1635
	TransactionDetails <TxDtls>	[1..*]	±	C9, C10	1635
	BalanceByPage <BalByPg>	[0..1]	±		1637

76.1.5.4.4.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security by an ISIN.

Identification <Id> contains one of the following elements (see [SecurityIdentification3Choice](#) on page 2907 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2908
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2908
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2908
Or	RIC <RIC>	[1..1]	IdentifierSet		2908
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2908
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2908
Or	CTA <CTA>	[1..1]	IdentifierSet		2908
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2909
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2909
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2909
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		2909
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2909
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2909
Or	Common <Cmon>	[1..1]	IdentifierSet		2909
Or}	OtherProprietaryIdentification <OthrPrtryld>	[1..1]	±		2910

76.1.5.4.4.3.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text](#) on page 3409

76.1.5.4.4.3.3 SupplementaryIdentification <Splmtryld>

Presence: [0..1]

Definition: Additional information about a financial instrument to help identify the instrument.

Datatype: [Max35Text](#) on page 3409

76.1.5.4.4.3.4 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, ie, ownership, of the security, eg, registered or bearer.

Datatype: [FormOfSecurity1Code](#) on page 3281

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.

CodeName	Name	Definition
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.5.4.4.3.5 ClassType <ClssTp>

Presence: [0..1]

Definition: Features of units offered by a fund. For example, a unit may have a specific load structure, eg, front end or back end, an income policy, eg, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, eg, 'Class A', 'Class 2'.

Datatype: Max35Text on page 3409

76.1.5.4.4.3.6 DistributionPolicy <DstrbtnPlcy>

Presence: [0..1]

Definition: Income policy relating to a class type, ie, if income is paid out or retained in the fund.

Datatype: DistributionPolicy1Code on page 3271

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

76.1.5.4.4.3.7 TransactionDetails <TxDtls>

Presence: [1..*]

Definition: Process of buying, selling, switching or transferring fund units.

Impacted by: C9 TransactionTypeLegExecutionIdentificationRule, C10 TransactionTypeLegIdentificationRule

TransactionDetails <TxDtls> contains the following elements (see [InvestmentFundTransaction3](#) on page 2303 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TransactionType <TxTp>	[1..1]	CodeSet		2305
Or	ExtendedTransactionType <XtndedTxTp>	[1..1]	Text		2306
Or	CorporateActionEventType <CorpActnEvtTp>	[1..1]	CodeSet		2306
Or}	ExtendedCorporateActionEventType <XtndedCorpActnEvtTp>	[1..1]	Text		2308
	BookingStatus <BookgSts>	[0..1]	CodeSet		2308
	MasterReference <MstrRef>	[0..1]	Text		2309
	OrderReference <OrdrRef>	[0..1]	Text		2309
	ClientReference <ClntRef>	[0..1]	Text		2309
	DealReference <DealRef>	[0..1]	Text		2309
	LegIdentification <LegId>	[0..1]	Text		2309
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		2309
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		2309
	SettledTransactionIndicator <SttlTxInd>	[1..1]	Indicator		2310
	RegisteredTransactionIndicator <RegdTxInd>	[1..1]	Indicator		2310
	UnitsQuantity <UnitsQty>	[1..1]	±		2310
	CreditDebit <CdtDbt>	[1..1]	CodeSet		2310
	Reversal <Rvsl>	[0..1]	CodeSet		2310
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2311
	SettlementDate <SttlmDt>	[0..1]	Date		2311
	TradeDateTime <TradDtTm>	[1..1]	±		2311
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		2312
	PartiallyExecutedIndicator <PrtlyExctdInd>	[1..1]	Indicator		2312
	PriceDetails <PricDtls>	[0..1]			2312
{Or	Type <Tp>	[1..1]	CodeSet		2312
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2313
	Value <Val>	[1..1]	±		2314
	PriceMethod <PricMtd>	[0..1]	CodeSet		2314

Constraints

- **TransactionTypeLegExecutionIdentificationRule**

(Rule)

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

- **TransactionTypeLegIdentificationRule**

(Rule)

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

76.1.5.4.4.3.8 BalanceByPage <BalByPg>

Presence: [0..1]

Definition: Balance of the financial instrument for this specific statement page.

BalanceByPage <BalByPg> contains the following elements (see [PaginationBalance1 on page 1616](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FirstOpeningBalance <FrstOpngBal>	[0..1]	±		1616
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[0..1]	±		1617
{Or	FinalClosingBalance <FnlClsgBal>	[0..1]	±		1617
Or}	IntermediaryClosingBalance <IntrmyClsgBal>	[0..1]	±		1617

76.1.5.4.5 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C16 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1 on page 2472](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

76.1.5.5 AccountingStatementOfHoldings2

Definition: Information about an accounting statement of holdings.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementGeneralDetails <StmntGnlDtls>	[0..1]			1638
	Reference <Ref>	[1..1]	Text		1639
	StatementDateTime <StmntDtTm>	[1..1]	±		1639
	CreationDateTime <CreDtTm>	[0..1]	±		1639
	Frequency <Frqcy>	[1..1]	±		1640
	UpdateType <UpdTp>	[1..1]	±		1640
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1640
	StatementBasis <StmntBsis>	[1..1]	±		1640
	ReportNumber <RptNb>	[0..1]	Text		1640
	AuditedIndicator <AudtdInd>	[1..1]	Indicator		1641
	AccountDetails <AcctDtls>	[0..1]	±		1641
	BalanceForAccount <BalForAcct>	[0..*]	±	C1, C6	1641
	SubAccountDetails <SubAcctDtls>	[0..*]	±		1642
	TotalValues <TtlVals>	[0..1]	±		1643
	Extension <Xtnsn>	[0..*]	±	C16	1643

Constraints

- **BalanceForAccountOrSubAccountDetailsRule**

(Rule)

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

76.1.5.5.1 StatementGeneralDetails <StmntGnlDtls>

Presence: [0..1]

Definition: General information related to the custody statement of holdings that is being cancelled.

StatementGeneralDetails <StmntGnlDtls> contains the following **Statement6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1639
	StatementDateTime <StmntDtTm>	[1..1]	±		1639
	CreationDateTime <CreDtTm>	[0..1]	±		1639
	Frequency <Frqcy>	[1..1]	±		1640
	UpdateType <UpdTp>	[1..1]	±		1640
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1640
	StatementBasis <StmntBsis>	[1..1]	±		1640
	ReportNumber <RptNb>	[0..1]	Text		1640
	AuditedIndicator <AudtdInd>	[1..1]	Indicator		1641

76.1.5.5.1.1 Reference <Ref>

Presence: [1..1]

Definition: Reference of the statement.

Datatype: [Max35Text on page 3409](#)

76.1.5.5.1.2 StatementDateTime <StmntDtTm>

Presence: [1..1]

Definition: Date of the statement.

StatementDateTime <StmntDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.5.5.1.3 CreationDateTime <CreDtTm>

Presence: [0..1]

Definition: Preparation date of the statement.

CreationDateTime <CreDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.5.5.1.4 Frequency <Frqcy>

Presence: [1..1]

Definition: Frequency of the statement.

Frequency <Frqcy> contains one of the following elements (see [FrequencyCodeAndDSSCode1Choice](#) on page 2897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2897
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2898

76.1.5.5.1.5 UpdateType <UpdTp>

Presence: [1..1]

Definition: Indicates whether the report is complete or contains changes only.

UpdateType <UpdTp> contains one of the following elements (see [StatementUpdateTypeCodeAndDSSCodeChoice](#) on page 2960 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmtUpdTpAsCd>	[1..1]	CodeSet		2960
Or}	StatementUpdateTypeAsDSS <StmtUpdTpAsDSS>	[1..1]	±		2961

76.1.5.5.1.6 ActivityIndicator <ActvtyInd>

Presence: [1..1]

Definition: Indicates whether there is activity or information update reported in the statement.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.5.5.1.7 StatementBasis <StmtBsis>

Presence: [1..1]

Definition: Type of balance on which the statement is prepared.

StatementBasis <StmtBsis> contains one of the following elements (see [StatementBasisCodeAndDSSCodeChoice](#) on page 2959 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmtBsisAsCd>	[1..1]	CodeSet		2960
Or}	StatementBasisAsDSS <StmtBsisAsDSS>	[1..1]	±		2960

76.1.5.5.1.8 ReportNumber <RptNb>

Presence: [0..1]

Definition: Sequential number of the statement.

Datatype: [Max5NumericText on page 3410](#)

76.1.5.5.1.9 AuditedIndicator <AudtdInd>

Presence: [1..1]

Definition: Indicates whether the statement is audited.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.5.5.2 AccountDetails <AcctDtls>

Presence: [0..1]

Definition: The safekeeping or investment account of the statement that is being cancelled.

AccountDetails <AcctDtls> contains the following elements (see [SafekeepingAccount2 on page 2026](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2026
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		2027
	Name <Nm>	[0..1]	Text		2027
	Designation <Dsgnt>	[0..1]	Text		2027
	IntermediaryInformation <IntrmyInf>	[0..10]	±		2027
	AccountOwner <AcctOwnr>	[0..1]	±		2028
	AccountServicer <AcctSvcr>	[0..1]	±		2028

76.1.5.5.3 BalanceForAccount <BalForAcct>

Presence: [0..*]

Definition: Net position of a segregated holding, in a single security, within the overall position held in a securities account.

Impacted by: [C1 AccruedInterestAmountSignRule](#), [C6 BalanceAtSafekeepingPlaceRule](#)

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateBalanceInformation3](#) on page 1652 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1653
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1653
	HoldingValue <HldgVal>	[1..*]	Amount	C3, C12	1653
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1654
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1655
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1655
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1655
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1656
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1657
	PriceDetails <PricDtls>	[1..*]	±	C15	1657
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1658
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1658
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1659
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]	±	C2	1659

Constraints

- **AccruedInterestAmountSignRule**

(Rule)

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **BalanceAtSafekeepingPlaceRule**

(Rule)

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

76.1.5.5.4 SubAccountDetails <SubAcctDtls>

Presence: [0..*]

Definition: The sub-account of the safekeeping or investment account.

SubAccountDetails <SubAcctDtls> contains the following elements (see [SubAccountIdentification3](#) on page 1595 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1595
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1596
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1596
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C6	1596

76.1.5.5.5 TotalValues <TtlVals>

Presence: [0..1]

Definition: Value of total holdings reported.

TotalValues <TtlVals> contains the following elements (see [TotalValueInPageAndStatement](#) on page 1650 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtlHldgsValOfPg>	[0..1]	Amount	C2, C10	1650
	TotalHoldingsValueOfStatement <TtlHldgsValOfStmt>	[1..1]	Amount	C2, C10	1651

76.1.5.5.6 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C16 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

76.1.5.6 CustodyStatementOfHoldings2

Definition: Information about a custody statement of holdings.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementGeneralDetails <StmntGnlDtls>	[0..1]			1644
	Reference <Ref>	[1..1]	Text		1645
	StatementDateTime <StmntDtTm>	[1..1]	±		1645
	CreationDateTime <CreDtTm>	[0..1]	±		1645
	Frequency <Frqcy>	[1..1]	±		1645
	UpdateType <UpdTp>	[1..1]	±		1646
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1646
	StatementBasis <StmntBsis>	[1..1]	±		1646
	ReportNumber <RptNb>	[0..1]	Text		1646
	AccountDetails <AcctDtls>	[0..1]	±		1647
	BalanceForAccount <BalForAcct>	[0..*]	±	C1, C8, C5	1647
	SubAccountDetails <SubAcctDtls>	[0..*]	±		1649
	TotalValues <TtlVals>	[0..1]	±		1649
	Extension <Xtnsn>	[0..*]	±	C16	1650

Constraints

- **BalanceForAccountOrSubAccountDetailsRule**

(Rule)

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

76.1.5.6.1 StatementGeneralDetails <StmntGnlDtls>

Presence: [0..1]

Definition: General information related to the custody statement of holdings that is being cancelled.

StatementGeneralDetails <StmntGnIDtls> contains the following **Statement7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1645
	StatementDateTime <StmntDtTm>	[1..1]	±		1645
	CreationDateTime <CreDtTm>	[0..1]	±		1645
	Frequency <Frqcy>	[1..1]	±		1645
	UpdateType <UpdTp>	[1..1]	±		1646
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1646
	StatementBasis <StmntBsis>	[1..1]	±		1646
	ReportNumber <RptNb>	[0..1]	Text		1646

76.1.5.6.1.1 Reference <Ref>

Presence: [1..1]

Definition: Reference of the statement.

Datatype: [Max35Text on page 3409](#)

76.1.5.6.1.2 StatementDateTime <StmntDtTm>

Presence: [1..1]

Definition: Date of the statement.

StatementDateTime <StmntDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.5.6.1.3 CreationDateTime <CreDtTm>

Presence: [0..1]

Definition: Preparation date of the statement.

CreationDateTime <CreDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.5.6.1.4 Frequency <Frqcy>

Presence: [1..1]

Definition: Frequency of the statement.

Frequency <Frqcy> contains one of the following elements (see [FrequencyCodeAndDSSCode1Choice](#) on page 2897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2897
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2898

76.1.5.6.1.5 UpdateType <UpdTp>

Presence: [1..1]

Definition: Indicates whether the report is complete or contains changes only.

UpdateType <UpdTp> contains one of the following elements (see [StatementUpdateTypeCodeAndDSSCodeChoice](#) on page 2960 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmtUpdTpAsCd>	[1..1]	CodeSet		2960
Or}	StatementUpdateTypeAsDSS <StmtUpdTpAsDSS>	[1..1]	±		2961

76.1.5.6.1.6 ActivityIndicator <ActvtyInd>

Presence: [1..1]

Definition: Indicates whether there is activity or information update reported in the statement.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.5.6.1.7 StatementBasis <StmtBsis>

Presence: [1..1]

Definition: Type of balance on which the statement is prepared.

StatementBasis <StmtBsis> contains one of the following elements (see [StatementBasisCodeAndDSSCodeChoice](#) on page 2959 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmtBsisAsCd>	[1..1]	CodeSet		2960
Or}	StatementBasisAsDSS <StmtBsisAsDSS>	[1..1]	±		2960

76.1.5.6.1.8 ReportNumber <RptNb>

Presence: [0..1]

Definition: Sequential number of the statement.

Datatype: [Max5NumericText](#) on page 3410

76.1.5.6.2 AccountDetails <AcctDtIs>

Presence: [0..1]

Definition: Safekeeping or investment account of the statement that is being cancelled.

AccountDetails <AcctDtIs> contains the following elements (see [SafekeepingAccount2](#) on page 2026 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2026
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		2027
	Name <Nm>	[0..1]	Text		2027
	Designation <Dsgnt>	[0..1]	Text		2027
	IntermediaryInformation <IntrmyInf>	[0..10]	±		2027
	AccountOwner <AcctOwnr>	[0..1]	±		2028
	AccountServicer <AcctSvcr>	[0..1]	±		2028

76.1.5.6.3 BalanceForAccount <BalForAcct>

Presence: [0..*]

Definition: Net position of a segregated holding, in a single security, within the overall position held in a securities account.

Impacted by: [C1 AccruedInterestAmountSignRule](#), [C8 BalanceAtSafekeepingPlaceRule](#), [C5 AggregateQuantityGuideline](#)

BalanceForAccount <BalForAcct> contains the following elements (see [AggregateBalanceInformation4](#) on page 1660 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1662
	AvailableQuantity <AvlblQty>	[0..1]	±		1662
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1663
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1663
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1663
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1664
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1664
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1665
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1665
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1666
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1666
	PriceDetails <PricDtls>	[0..*]	±	C15	1667
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1668
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1668
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1668
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]		C2, C6	1669
	AggregateQuantity <AggtQty>	[1..1]	±		1670
	AvailableQuantity <AvlblQty>	[0..1]	±		1670
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1670
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1670
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1671
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1671
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1672
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1673
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1673
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1674

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceDetails <PricDtls>	[0..*]	±	C15	1674
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1675
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1675
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1675

Constraints

- **AccruedInterestAmountSignRule**

(Rule)

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **AggregateQuantityGuideline**

(Guideline)

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

- **BalanceAtSafekeepingPlaceRule**

(Rule)

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

76.1.5.6.4 SubAccountDetails <SubAcctDtls>

Presence: [0..*]

Definition: Sub-account of the safekeeping or investment account.

SubAccountDetails <SubAcctDtls> contains the following elements (see [SubAccountIdentification5](#) on page 1597 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1598
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1598
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1598
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C8, C5	1598

76.1.5.6.5 TotalValues <TtlVals>

Presence: [0..1]

Definition: Value of total holdings reported.

TotalValues <TtlVals> contains the following elements (see [TotalValueInPageAndStatement](#) on page 1650 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtlHldgsValOfPg>	[0..1]	Amount	C2, C10	1650
	TotalHoldingsValueOfStatement <TtlHldgsValOfStmt>	[1..1]	Amount	C2, C10	1651

76.1.5.6.6 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C16 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

76.1.5.7 TotalValueInPageAndStatement

Definition: Value of total holdings reported.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtlHldgsValOfPg>	[0..1]	Amount	C2, C10	1650
	TotalHoldingsValueOfStatement <TtlHldgsValOfStmt>	[1..1]	Amount	C2, C10	1651

76.1.5.7.1 TotalHoldingsValueOfPage <TtlHldgsValOfPg>

Presence: [0..1]

Definition: Total value of positions reported in this message.

Impacted by: [C2 ActiveCurrency](#) , [C10 CurrencyAmount](#)

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.7.2 TotalHoldingsValueOfStatement <TtlHldgsValOfStmt>

Presence: [1..1]

Definition: Total value of positions reported in this statement (a statement may comprise one or more messages).

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

– *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.8 AggregateBalanceInformation3

Definition: Net position of a segregated holding, in a single security, within the overall position held in a securities account. A securities balance is calculated from the sum of securities' receipts minus the sum of securities' deliveries.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1653
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1653
	HoldingValue <HldgVal>	[1..*]	Amount	C3, C12	1653
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1654
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1655
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1655
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1655
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1656
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1657
	PriceDetails <PricDtls>	[1..*]	±	C15	1657
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1658
	BalanceBreakdownDetails <BalBrkdwDtls>	[0..*]	±		1658
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>	[0..*]	±		1659
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]	±	C2	1659

Constraints

• **AccruedInterestAmountSignRule**

(Rule)

If `AccruedInterestAmount` is present, then `AccruedInterestAmountSign` must be present. If `AccruedInterestAmount` is not present, then `AccruedInterestAmountSign` may not be present.

- **BalanceAtSafekeepingPlaceRule**

(Rule)

If `SafekeepingPlace` is present, then `BalanceAtSafekeepingPlace` is not allowed.

76.1.5.8.1 AggregateQuantity <AggtQty>

Presence: [1..1]

Definition: Total quantity of financial instrument for the referenced holding.

AggregateQuantity <AggtQty> contains one of the following elements (see [BalanceQuantity1Choice](#) on page 1699 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1699
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1700

76.1.5.8.2 DaysAccrued <DaysAcrd>

Presence: [0..1]

Definition: Specifies the number of days used for calculating the accrued interest amount.

Datatype: [Number](#) on page 3405

76.1.5.8.3 HoldingValue <HldgVal>

Presence: [1..*]

Definition: Total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

Impacted by: [C3 ActiveOrHistoricCurrency](#) __, [C12 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006

– *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

– *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.8.4 PreviousHoldingValue <PrvsHldgVal>

Presence: [0..1]

Definition: Previous total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00006

– *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

– *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.8.5 **AccruedInterestAmount** <AcrdIntrstAmt>

Presence: [0..1]

Definition: Interest amount that has accrued in between coupon payment periods.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.8.6 **AccruedInterestAmountSign** <AcrdIntrstAmtSgn>

Presence: [0..1]

Definition: Indicates whether the accrued interest is a positive or negative amount.

Datatype: One of the following values must be used (see PlusOrMinusIndicator on page 3405):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

76.1.5.8.7 **BookValue** <BookVal>

Presence: [0..1]

Definition: Value of a security, as booked in an account. Book value is often different from the current market value of the security.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.8.8 SafekeepingPlace <SfkpgPlc>

Presence: [0..1]

Definition: Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

SafekeepingPlace <SfkpgPlc> contains one of the following elements (see [SafekeepingPlaceFormatChoice](#) on page 2898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2898
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2899
	Narrative <Nrrtv>	[0..1]	Text		2899
	Party <Pty>	[0..1]	±		2899
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2900
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C11	2900

76.1.5.8.9 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Security held on the account for which the balance is calculated.

Impacted by: [C12 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument13](#) on page 1911 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1912
	Name <Nm>	[0..1]	Text		1913
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1913
	ClassType <ClsTp>	[0..1]	Text		1913
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1913
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1913

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

76.1.5.8.10 PriceDetails <PricDtls>

Presence: [1..*]

Definition: Price of the financial instrument in one or more currencies.

Impacted by: [C15 ValueRule](#)

PriceDetails <PricDtls> contains the following elements (see [PricInformation2](#) on page 2833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2834
	ValueType <ValTp>	[0..1]	CodeSet		2834
{Or	Type <Tp>	[1..1]	CodeSet		2834
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2835
	SourceOfPrice <SrcOfPric>	[0..1]			2835
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2836
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2836
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2836
	QuotationDate <QtnDt>	[0..1]	±		2836
	Yielded <Yldd>	[0..1]	Indicator		2837

Constraints

- **ValueRule**

(Rule)

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

76.1.5.8.11 ForeignExchangeDetails <FXDtls>

Presence: [0..1]

Definition: Currency exchange related to a securities order.

ForeignExchangeDetails <FXDtls> contains the following elements (see [ForeignExchangeTerms6](#) on page 1993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C3	1993
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C3	1994
	ExchangeRate <XchgRate>	[1..1]	Rate		1994
	QuotationDate <QtnDt>	[0..1]	DateTime		1994
	QuotingInstitution <QtgInstn>	[0..1]	±		1994

76.1.5.8.12 BalanceBreakdownDetails <BalBrkdwnDtls>

Presence: [0..*]

Definition: Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

BalanceBreakdownDetails <BalBrkdwnDtls> contains the following elements (see [SubBalanceInformation2 on page 1696](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1697
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1697
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1699
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1699

76.1.5.8.13 AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>

Presence: [0..*]

Definition: Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls> contains the following elements (see [AdditionalBalanceInformation2 on page 1615](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1615
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1615
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1616

76.1.5.8.14 BalanceAtSafekeepingPlace <BalAtSfkpgPlc>

Presence: [0..*]

Definition: Net position of a segregated holding, in a single security, within the overall position held in a securities account at a specified place of safekeeping.

Impacted by: [C2 AccruedInterestAmountSignRule](#)

BalanceAtSafekeepingPlace <BalAtSfkpgPlc> contains the following elements (see [AggregateBalancePerSafekeepingPlace4](#) on page 1700 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateBalance <AggtBal>	[1..1]	±		1701
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1701
	HoldingValue <HldgVal>	[1..*]	Amount	C3, C12	1702
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1702
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1703
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1704
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1704
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1705
	PriceDetails <PricDtls>	[1..*]	±	C15	1705
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1706
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1706
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1706

Constraints

- **AccruedInterestAmountSignRule**

(Rule)

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

76.1.5.9 AggregateBalanceInformation4

Definition: Net position of a segregated holding, in a single security, within the overall position held in a securities account. A securities balance is calculated from the sum of securities' receipts minus the sum of securities' deliveries.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1662
	AvailableQuantity <AvlblQty>	[0..1]	±		1662
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1663
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1663
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1663
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1664
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1664
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1665
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1665
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1666
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1666
	PriceDetails <PricDtls>	[0..*]	±	C15	1667
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1668
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1668
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1668
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]		C2, C6	1669
	AggregateQuantity <AggtQty>	[1..1]	±		1670
	AvailableQuantity <AvlblQty>	[0..1]	±		1670
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1670
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1670
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1671
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1671
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1672
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1673
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1673
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1674
	PriceDetails <PricDtls>	[0..*]	±	C15	1674
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1675

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BalanceBreakdownDetails <BalBrkDwnDtls>	[0..*]	±		1675
	AdditionalBalanceBreakdownDetails <AddtlBalBrkDwnDtls>	[0..*]	±		1675

Constraints

- **AccruedInterestAmountSignRule**

(Rule)

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **AggregateQuantityGuideline**

(Guideline)

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

- **BalanceAtSafekeepingPlaceRule**

(Rule)

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

76.1.5.9.1 AggregateQuantity <AggtQty>

Presence: [1..1]

Definition: Total quantity of financial instrument for the referenced holding.

AggregateQuantity <AggtQty> contains one of the following elements (see [BalanceQuantity1Choice](#) on page 1699 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1699
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1700

76.1.5.9.2 AvailableQuantity <AvlblQty>

Presence: [0..1]

Definition: Total quantity of financial instrument for the referenced holding that is available.

AvailableQuantity <AvlblQty> contains one of the following elements (see [BalanceQuantity1Choice](#) on page 1699 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1699
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1700

76.1.5.9.3 NotAvailableQuantity <NotAvlBlQty>

Presence: [0..1]

Definition: Total quantity of financial instrument for the referenced holding that is not available.

NotAvailableQuantity <NotAvlBlQty> contains one of the following elements (see [BalanceQuantity1Choice](#) on page 1699 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1699
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1700

76.1.5.9.4 DaysAccrued <DaysAcrd>

Presence: [0..1]

Definition: Specifies the number of days used for calculating the accrued interest amount.

Datatype: [Number](#) on page 3405

76.1.5.9.5 HoldingValue <HldgVal>

Presence: [0..*]

Definition: Total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

Impacted by: [C3 ActiveOrHistoricCurrency](#) ____, [C12 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.9.6 PreviousHoldingValue <PrvsHldgVal>

Presence: [0..1]

Definition: Previous total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.9.7 AccruedInterestAmount <AcrdIntrstAmt>

Presence: [0..1]

Definition: Interest amount that has accrued in between coupon payment periods.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.9.8 **AccruedInterestAmountSign <AcrdIntrstAmtSgn>**

Presence: [0..1]

Definition: Indicates whether the accrued interest is a positive or negative amount.

Datatype: One of the following values must be used (see [PlusOrMinusIndicator](#) on page 3405):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

76.1.5.9.9 **BookValue <BookVal>**

Presence: [0..1]

Definition: Value of a security, as booked in an account. Book value is often different from the current market value of the security.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.9.10 SafekeepingPlace <SfkpgPlc>

Presence: [0..1]

Definition: Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

SafekeepingPlace <SfkpgPlc> contains one of the following elements (see [SafekeepingPlaceFormatChoice on page 2898](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2898
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2899
	Narrative <Nrrtv>	[0..1]	Text		2899
	Party <Pty>	[0..1]	±		2899
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2900
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C11	2900

76.1.5.9.11 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Security held on the account for which the balance is calculated.

Impacted by: [C12 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument13](#) on page 1911 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1912
	Name <Nm>	[0..1]	Text		1913
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1913
	ClassType <ClsTp>	[0..1]	Text		1913
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1913
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1913

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

76.1.5.9.12 PriceDetails <PricDtls>

Presence: [0..*]

Definition: Price of the financial instrument in one or more currencies.

Impacted by: [C15 ValueRule](#)

PriceDetails <PricDtls> contains the following elements (see [PriceInformation2](#) on page 2833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2834
	ValueType <ValTp>	[0..1]	CodeSet		2834
{Or	Type <Tp>	[1..1]	CodeSet		2834
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2835
	SourceOfPrice <SrcOfPric>	[0..1]			2835
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2836
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2836
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2836
	QuotationDate <QtnDt>	[0..1]	±		2836
	Yielded <Yldd>	[0..1]	Indicator		2837

Constraints

- **ValueRule**

(Rule)

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

76.1.5.9.13 ForeignExchangeDetails <FXDtIs>

Presence: [0..1]

Definition: Currency exchange related to a securities order.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms6](#) on page 1993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C3	1993
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C3	1994
	ExchangeRate <XchgRate>	[1..1]	Rate		1994
	QuotationDate <QtnDt>	[0..1]	DateTime		1994
	QuotingInstitution <QtgInstn>	[0..1]	±		1994

76.1.5.9.14 BalanceBreakdownDetails <BalBrkdwDtls>

Presence: [0..*]

Definition: Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

BalanceBreakdownDetails <BalBrkdwDtls> contains the following elements (see [SubBalanceInformation2](#) on page 1696 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1697
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1697
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1699
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>	[0..*]	±		1699

76.1.5.9.15 AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>

Presence: [0..*]

Definition: Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

AdditionalBalanceBreakdownDetails <AddtlBalBrkDwnDtls> contains the following elements (see [AdditionalBalanceInformation2](#) on page 1615 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1615
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1615
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1616

76.1.5.9.16 BalanceAtSafekeepingPlace <BalAtSfkpgPlc>

Presence: [0..*]

Definition: Net position of a segregated holding, in a single security, within the overall position held in a securities account at a specified place of safekeeping.

Impacted by: [C2 AccruedInterestAmountSignRule](#), [C6 AggregateQuantityGuideline](#)

BalanceAtSafekeepingPlace <BalAtSfkpgPlc> contains the following **AggregateBalancePerSafekeepingPlace3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1670
	AvailableQuantity <AvlblQty>	[0..1]	±		1670
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1670
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1670
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1671
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1671
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1672
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1673
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1673
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1674
	PriceDetails <PricDtls>	[0..*]	±	C15	1674
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1675
	BalanceBreakdownDetails <BalBrkDwnDtls>	[0..*]	±		1675
	AdditionalBalanceBreakdownDetails <AddtlBalBrkDwnDtls>	[0..*]	±		1675

Constraints

- **AccruedInterestAmountSignRule**
(Rule)

If `AccruedInterestAmount` is present, then `AccruedInterestAmountSign` must be present. If `AccruedInterestAmount` is not present, then `AccruedInterestAmountSign` may not be present.

- **AggregateQuantityGuideline**

(Guideline)

The `AggregateQuantity` should be the sum of `AvailableQuantity` and `NotAvailableQuantity` if `AvailableQuantity` and `NotAvailableQuantity` are both present.

76.1.5.9.16.1 AggregateQuantity <AggtQty>

Presence: [1..1]

Definition: Total quantity of financial instrument for the referenced holding.

AggregateQuantity <AggtQty> contains one of the following elements (see [BalanceQuantity1Choice](#) on page 1699 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1699
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1700

76.1.5.9.16.2 AvailableQuantity <AvlblQty>

Presence: [0..1]

Definition: Total quantity of financial instrument for the referenced holding that is available.

AvailableQuantity <AvlblQty> contains one of the following elements (see [BalanceQuantity1Choice](#) on page 1699 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1699
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1700

76.1.5.9.16.3 NotAvailableQuantity <NotAvlblQty>

Presence: [0..1]

Definition: Total quantity of financial instrument for the referenced holding that is not available.

NotAvailableQuantity <NotAvlblQty> contains one of the following elements (see [BalanceQuantity1Choice](#) on page 1699 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1699
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1700

76.1.5.9.16.4 DaysAccrued <DaysAcrd>

Presence: [0..1]

Definition: Specifies the number of days used for calculating the accrued interest amount.

Datatype: [Number on page 3405](#)

76.1.5.9.16.5 HoldingValue <HldgVal>

Presence: [0..*]

Definition: Total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.9.16.6 PreviousHoldingValue <PrvsHldgVal>

Presence: [0..1]

Definition: Previous total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.9.16.7 AccruedInterestAmount <AcrdIntrstAmt>

Presence: [0..1]

Definition: Interest amount that has accrued in between coupon payment periods.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.9.16.8 AccruedInterestAmountSign <AcrdIntrstAmtSgn>

Presence: [0..1]

Definition: Indicates whether the accrued interest is a positive or negative amount.

Datatype: One of the following values must be used (see [PlusOrMinusIndicator](#) on page 3405):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

76.1.5.9.16.9 BookValue <BookVal>

Presence: [0..1]

Definition: Value of a security, as booked in an account. Book value is often different from the current market value of the security.

Impacted by: [C3 ActiveOrHistoricCurrency](#), [C12 CurrencyAmount](#)

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.9.16.10 SafekeepingPlace <SfkpgPlc>

Presence: [1..1]

Definition: Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

SafekeepingPlace <SfkpgPlc> contains one of the following elements (see [SafekeepingPlaceFormatChoice](#) on page 2898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2898
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2899
	Narrative <Nrrtv>	[0..1]	Text		2899
	Party <Pty>	[0..1]	±		2899
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2900
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C11	2900

76.1.5.9.16.11 PriceDetails <PricDtls>

Presence: [0..*]

Definition: Price of the financial instrument in one or more currencies.

Impacted by: [C15 ValueRule](#)

PriceDetails <PricDtls> contains the following elements (see [PricInformation2](#) on page 2833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2834
	ValueType <ValTp>	[0..1]	CodeSet		2834
{Or	Type <Tp>	[1..1]	CodeSet		2834
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2835
	SourceOfPrice <SrcOfPric>	[0..1]			2835
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2836
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2836
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2836
	QuotationDate <QtnDt>	[0..1]	±		2836
	Yielded <Yldd>	[0..1]	Indicator		2837

Constraints

- **ValueRule**
(Rule)

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

76.1.5.9.16.12 ForeignExchangeDetails <FXDtIs>

Presence: [0..1]

Definition: Currency exchange related to a securities order.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms6](#) on page 1993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C3	1993
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C3	1994
	ExchangeRate <XchgRate>	[1..1]	Rate		1994
	QuotationDate <QtnDt>	[0..1]	DateTime		1994
	QuotingInstitution <QtgInstn>	[0..1]	±		1994

76.1.5.9.16.13 BalanceBreakdownDetails <BalBrkdwDtls>

Presence: [0..*]

Definition: Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

BalanceBreakdownDetails <BalBrkdwDtls> contains the following elements (see [SubBalanceInformation2](#) on page 1696 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1697
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1697
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1699
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>	[0..*]	±		1699

76.1.5.9.16.14 AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>

Presence: [0..*]

Definition: Net position of a segregated holding, in a single security, within the overall position held in a securities account.

AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls> contains the following elements (see [AdditionalBalanceInformation2](#) on page 1615 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1615
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1615
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1616

76.1.5.10 SubBalanceInformation3

Definition: Net position of a segregated holding of a single security within the overall position held in the securities account, eg, sub-balance per status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1676
	SubBalanceType <SubBalTp>	[1..1]	±		1676

76.1.5.10.1 Quantity <Qty>

Presence: [1..1]

Definition: Quantity of securities in the sub-balance.

Quantity <Qty> contains one of the following elements (see [SubBalanceQuantity1Choice](#) on page 1695 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1695
Or	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1695
Or}	QuantityAndAvailability <QtyAndAvlby>	[1..1]			1696
	Quantity <Qty>	[1..1]	±		1696
	AvailabilityIndicator <AvlbyInd>	[1..1]	Indicator		1696

76.1.5.10.2 SubBalanceType <SubBalTp>

Presence: [1..1]

Definition: Type of subbalance.

SubBalanceType <SubBalTp> contains one of the following elements (see [SubBalanceType2Choice](#) on page 1677 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1677
Or}	Proprietary <Prtry>	[1..1]	±		1679

76.1.5.11 AdditionalBalanceInformation3

Definition: Net position of a segregated holding of a single security within the overall position held in the securities account, eg, sub-balance per status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1677
	AdditionalBalanceInformation <AddtlBalInf>	[1..1]	±		1677

76.1.5.11.1 Quantity <Qty>

Presence: [1..1]

Definition: Quantity of securities in the sub-balance.

Quantity <Qty> contains one of the following elements (see [SubBalanceQuantity1Choice](#) on page 1695 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1695
Or	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1695
Or}	QuantityAndAvailability <QtyAndAvlbtly>	[1..1]			1696
	Quantity <Qty>	[1..1]	±		1696
	AvailabilityIndicator <AvlbtlyInd>	[1..1]	Indicator		1696

76.1.5.11.2 AdditionalBalanceInformation <AddtlBallnf>

Presence: [1..1]

Definition: Net position of a segregated holding of a single security within the overall position held in the securities account, eg, sub-balance per status.

AdditionalBalanceInformation <AddtlBallnf> contains one of the following elements (see [SubBalanceType1Choice](#) on page 1679 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1679
Or}	Proprietary <Prtry>	[1..1]	±		1680

76.1.5.12 SubBalanceType2Choice

Definition: Choice of SubBalance.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1677
Or}	Proprietary <Prtry>	[1..1]	±		1679

76.1.5.12.1 SubBalanceType <SubBalTp>

Presence: [1..1]

Definition: Reason for the sub-balance.

Datatype: [SecuritiesBalanceType3Code](#) on page 3352

CodeName	Name	Definition
BLOK	Blocked	Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order,

CodeName	Name	Definition
		death of beneficiary or account owner, or bankruptcy.
BORR	Borrowed	Balance of securities that have been borrowed from another party.
COLI	CollateralIn	Balance of securities that belong to a third party and that are held for the purpose of collateralisation.
COLO	CollateralOut	Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.
LOAN	OnLoan	Balance of securities that have been loaned to a third party.
MARG	DerivativesMargin	Balance of securities that are used as collateral for derivatives.
PDMT	PendingDeliveryMatchedBalance	Balance of securities pending delivery that have been matched. This is only applicable in a CSD to participant communication.
PRMT	PendingReceiptMatchedBalance	Balance of securities pending receipt that have been matched. This is only applicable in a CSD to participant communication.
PRUM	PendingReceiptUnmatchedBalance	Balance of securities pending receipt that are unmatched. This is only applicable in a CSD to participant communication.
PECA	PendingCorporateAction	Balance of securities, before ex-date, that are involved in a corporate action (CA). Securities blocked due to a CA, for example, proxy, in escrow, are to be identified in the BLOK sub-balance.
PEND	PendingDelivery	Balance of securities that are pending delivery.
PENR	PendingReceipt	Balance of securities that are pending receipt.
PLED	Pledged	Balance of securities that are pledged, for example, a financial instrument is unavailable because it has been used or given as a guarantee.
PDUM	PendingDeliveryUnmatchedBalance	Balance of securities pending delivery that are unmatched. This is only applicable in a CSD to participant communication.
REGO	OutForRegistration	Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled.
RSTR	Restricted	Balance of securities that may only be sold under certain conditions or require legal documents.

CodeName	Name	Definition
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
TRAN	InTransshipment	Balance of physical securities that are in transshipment, eg, in the process of being transferred from one depository or agent to another.
DRAW	Drawn	Balance of securities that are drawn for redemption.
WDOC	WaitingDocumentation	Financial instrument is unavailable due to missing or incomplete documentation pertaining to the account, or due to a missing or incomplete order.
BTRA	BeingTransferred	Financial instrument is unavailable as a result of a transfer order, pending movement in the shareholders' register.
SPCM	SidePocketComponent	Investment fund order contains a side pocket component.
HOLD	Holdback	Investment fund order execution subject to redemption proceeds.

76.1.5.12.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13](#) on page 2020 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.5.13 SubBalanceType1Choice

Definition: Choice of SubBalance type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1679
Or}	Proprietary <Prtry>	[1..1]	±		1680

76.1.5.13.1 SubBalanceType <SubBalTp>

Presence: [1..1]

Definition: Reason for the sub-balance.

Datatype: [SecuritiesBalanceType4Code on page 3354](#)

CodeName	Name	Definition
CLEN	TaxExempt	Balance of tax-exempt securities.
DIRT	NonTaxExempt	Balance of taxable securities.
NOMI	Registered	Balance of securities that are registered (in the name of a nominee or of the beneficial owner).
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
SPOS	StreetPosition	Balance of securities that remain registered in the name of the prior beneficial owner of securities.
UNRG	Unregistered	Balance of securities that could not be registered due to foreign ownership limitation.
SPCM	SidePocketComponent	Investment fund order contains a side pocket component.
HOLD	Holdback	Investment fund order execution subject to redemption proceeds.

76.1.5.13.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13 on page 2020](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.5.14 SubBalanceBreakdown1

Definition: Net position of a segregated holding of a single financial instrument within the overall position held in the securities account, for example, sub-balance per status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SubBalanceType <SubBalTp>	[1..1]	±		1680
	Quantity <Qty>	[1..1]	±		1681

76.1.5.14.1 SubBalanceType <SubBalTp>

Presence: [1..1]

Definition: Reason for the sub-balance.

SubBalanceType <SubBalTp> contains one of the following elements (see [SubBalanceType9Choice](#) on page 1690 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1690
Or}	Proprietary <Prtry>	[1..1]	±		1692

76.1.5.14.2 Quantity <Qty>

Presence: [1..1]

Definition: Quantity of financial instrument in the sub-balance.

Quantity <Qty> contains one of the following elements (see [SubBalanceQuantity5Choice](#) on page 1692 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1692
Or}	Proprietary <Prtry>	[1..1]	±		1692

76.1.5.15 AggregateHoldingBalance2

Definition: Overall holding position, in a single financial instrument, held in a securities account at a specified place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1681
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1683
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1683

76.1.5.15.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identification of the financial instrument for which the balance information is specified.

Impacted by: [C3 DescriptionPresenceRule](#), [C4 DescriptionUsageRule](#), [C5 ISINGuideline](#), [C6 ISINPresenceRule](#), [C7 OtherIdentificationPresenceRule](#)

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see [SecurityIdentification19](#) on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		1899
	OtherIdentification <OthrlId>	[0..*]			1899
	Identification <Id>	[1..1]	Text		1899
	Suffix <Sfx>	[0..1]	Text		1900
	Type <Tp>	[1..1]	±		1900
	Description <Desc>	[0..1]	Text		1900

Constraints

- **DescriptionPresenceRule**

(Rule)

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
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00192
- *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

- **ISINPresenceRule**

(Rule)

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
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00194
- *Error Text:* At least one identification must be present.

• **OtherIdentificationPresenceRule**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00193
- *Error Text:* At least one identification must be present.

76.1.5.15.2 BalanceForFinancialInstrument <BalForFinInstrm>

Presence: [1..*]

Definition: Balance breakdown on the net position of a financial instrument.

BalanceForFinancialInstrument <BalForFinInstrm> contains the following elements (see [FinancialInstrumentAggregateBalance1](#) on page 1689 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ItemDate <ItmDt>	[1..1]	Date		1689
	Holdings <Hldgs>	[1..1]	±		1689
	Price <Pric>	[0..*]	±		1689

76.1.5.15.3 SupplementaryData <SplmtryData>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C8 SupplementaryDataRule](#)

SupplementaryData <SplmtryData> contains the following elements (see [SupplementaryData1](#) on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

76.1.5.16 AggregateHoldingBalance1

Definition: Overall holding position, in a single financial instrument, held in a securities account at a specified place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	1684
	HoldingForm <HldgForm>	[0..1]	CodeSet		1686
	HoldingPhysicalType <HldgPhysTp>	[0..1]	CodeSet		1686
	BalanceForFinancialInstrument <BalForFinInstrm>	[1..*]	±		1686
	SupplementaryData <SplmtryData>	[0..*]	±	C8	1686

76.1.5.16.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identification of the financial instrument for which the balance information is specified.

Impacted by: C3 DescriptionPresenceRule, C4 DescriptionUsageRule, C5 ISINGuideline, C6 ISINPresenceRule, C7 OtherIdentificationPresenceRule

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see [SecurityIdentification19](#) on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		1899
	OtherIdentification <OthrId>	[0..*]			1899
	Identification <Id>	[1..1]	Text		1899
	Suffix <Sfx>	[0..1]	Text		1900
	Type <Tp>	[1..1]	±		1900
	Description <Desc>	[0..1]	Text		1900

Constraints

- **DescriptionPresenceRule**

(Rule)

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
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00192
- *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

- **ISINPresenceRule**

(Rule)

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
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00194
- *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

(Rule)

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
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00193

– *Error Text:* At least one identification must be present.

76.1.5.16.2 HoldingForm <HldgForm>

Presence: [0..1]

Definition: Form of ownership of the holding.

Datatype: [FormOfSecurity1Code](#) on page 3281

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.5.16.3 HoldingPhysicalType <HldgPhysTp>

Presence: [0..1]

Definition: Specifies whether the holding is physically delivered or is a book entry only.

Datatype: [PhysicalTransferType1Code](#) on page 3328

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.
PHYS	Physical	Physical transfer.

76.1.5.16.4 BalanceForFinancialInstrument <BalForFinInstrm>

Presence: [1..*]

Definition: Balance breakdown on the net position of the financial instrument.

BalanceForFinancialInstrument <BalForFinInstrm> contains the following elements (see [FinancialInstrumentAggregateBalance1](#) on page 1689 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ItemDate <ItmDt>	[1..1]	Date		1689
	Holdings <Hldgs>	[1..1]	±		1689
	Price <Pric>	[0..*]	±		1689

76.1.5.16.5 SupplementaryData <SplmtryData>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C8 SupplementaryDataRule](#)

SupplementaryData <SplmtryData> contains the following elements (see [SupplementaryData1](#) on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

76.1.5.17 FinancialInstrumentAggregateBalance2

Definition: Aggregated position held in a securities account for a specified financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettledBalance <SttldBal>	[0..1]	±		1687
	TradedBalance <TraddBal>	[0..1]	±		1687
	BalanceBreakdown <BalBrkdwn>	[0..*]	±		1688

76.1.5.17.1 SettledBalance <SttldBal>

Presence: [0..1]

Definition: Balance of settled transactions.

SettledBalance <SttldBal> contains one of the following elements (see [FinancialInstrumentQuantity1Choice](#) on page 1973 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1973
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1974
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		1974

76.1.5.17.2 TradedBalance <TraddBal>

Presence: [0..1]

Definition: Balance of settled transactions and transactions pending settlement.

TradedBalance <TraddBal> contains one of the following elements (see [FinancialInstrumentQuantity1Choice](#) on page 1973 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1973
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1974
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		1974

76.1.5.17.3 BalanceBreakdown <BalBrkdwn>

Presence: [0..*]

Definition: Breakdown of the balances of holdings into sub-balances.

BalanceBreakdown <BalBrkdwn> contains the following elements (see [SubBalanceBreakdown1](#) on page 1680 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SubBalanceType <SubBalTp>	[1..1]	±		1680
	Quantity <Qty>	[1..1]	±		1681

76.1.5.18 FinancialInstrumentAggregateBalance1Choice

Definition: Choice of holding indicator and aggregated position of holdings.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	HoldingsIndicator <HldgsInd>	[1..1]	Indicator		1688
Or}	HoldingBalance <HldgBal>	[1..1]	±		1688

76.1.5.18.1 HoldingsIndicator <HldgsInd>

Presence: [1..1]

Definition: Indicates whether holdings are present.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.5.18.2 HoldingBalance <HldgBal>

Presence: [1..1]

Definition: Balance of holdings.

HoldingBalance <HldgBal> contains the following elements (see [FinancialInstrumentAggregateBalance2](#) on page 1687 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettledBalance <SttldBal>	[0..1]	±		1687
	TradedBalance <TraddBal>	[0..1]	±		1687
	BalanceBreakdown <BalBrkdown>	[0..*]	±		1688

76.1.5.19 FinancialInstrumentAggregateBalance1

Definition: Aggregated position of holdings held in a securities account for a specified financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ItemDate <ItmDt>	[1..1]	Date		1689
	Holdings <Hldgs>	[1..1]	±		1689
	Price <Pric>	[0..*]	±		1689

76.1.5.19.1 ItemDate <ItmDt>

Presence: [1..1]

Definition: Date of the line of holding in the statement.

Datatype: [ISODate](#) on page 3391

76.1.5.19.2 Holdings <Hldgs>

Presence: [1..1]

Definition: Balances and sub-balances attributed to the holding.

Holdings <Hldgs> contains one of the following elements (see [FinancialInstrumentAggregateBalance1Choice](#) on page 1688 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	HoldingsIndicator <HldgsInd>	[1..1]	Indicator		1688
Or}	HoldingBalance <HldgBal>	[1..1]	±		1688

76.1.5.19.3 Price <Pric>

Presence: [0..*]

Definition: Details on the price value, type and source.

Price <Pric> contains the following elements (see [Price6 on page 2866](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateOrAmount <RateOrAmt>	[1..1]	±		2866
	Type <Tp>	[1..1]	CodeSet		2866
	Source <Src>	[1..1]	CodeSet		2868

76.1.5.20 SubBalanceType9Choice

Definition: Choice of format for the sub-balance.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1690
Or}	Proprietary <Prtry>	[1..1]	±		1692

76.1.5.20.1 Code <Cd>

Presence: [1..1]

Definition: Reason a financial instrument is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

Datatype: [SecuritiesBalanceType14Code on page 3348](#)

CodeName	Name	Definition
AWAS	AvailableWithNoAdditionalStatus	Balance of financial instruments that are freely available with no specific additional status.
BTRA	BeingTransferred	Financial instrument is unavailable as a result of a transfer order, pending movement in the shareholders' register.
BLOK	Blocked	Balance of financial instruments that are blocked.
BLOV	BlockedAuthenticity	Balance of financial instruments that are blocked for verification of authenticity.
BLCA	BlockedCorporateAction	Balance of financial instrument blocked following a corporate action, including proxy activities.
BLOT	BlockedTrading	Balance of financial instruments that are blocked for trading.
BORR	Borrowed	Balance of financial instruments that have been borrowed from another party.
OPNT	OverdueNetPending	Net balance of financial instrument that is traded pending settlement and settlement is overdue.
PNET	NetPending	Net balance of financial instrument that is traded pending settlement.

CodeName	Name	Definition
COLI	CollateralIn	Balance of securities that belong to a third party and that are held for the purpose of collateralisation.
COLO	CollateralOut	Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.
MARG	DerivativesMargin	Account is used when financing is by the broker/dealer.
DRAW	Drawn	Settlement transactions relates to drawn securities.
TRAN	InTransshipment	Transaction has been generated due to transformation following a corporate action.
LOAN	OnLoan	Loan for consumption.
REGO	OutForRegistration	Balance of financial instruments currently being processed by the institution responsible for registering the new beneficial owner (or nominee).
BODE	PendingBorrowedDelivery	Balance of financial instruments that are pending delivery in relation to a borrow transaction.
BORE	PendingBorrowedReceipt	Balance of financial instruments that are pending receipt in relation to a borrow transaction.
PEDA	PendingCorporateActionDelivery	Balance of financial instrument pending delivery following a corporate action.
PECA	PendingCorporateActionReceipt	Balance of financial instrument pending receipt following a corporate action.
PEND	PendingDelivery	Processing has not been completed.
LODE	PendingOnLoanDelivery	Balance of financial instruments that are pending delivery in relation to a lending transaction.
LORE	PendingOnLoanReceipt	Balance of financial instruments that are pending receipt in relation to a lending transaction.
PENR	PendingReceipt	The instruction is pending receipt of securities, for example, from a purchase, loan etc.
PLED	Pledged	Balance of securities that belong to and is kept in the safekeeping account indicated within this message, and that are pledged.
RSTR	Restricted	Balance of financial instruments that may only be sold under certain conditions or require legal documents.
OTHR	Unclassified	Other. See Narrative.
WDOC	WaitingDocumentation	Financial instrument is unavailable due to missing or incomplete documentation

CodeName	Name	Definition
		pertaining to the account, or due to a missing or incomplete order.
GRP1	PurchasedInvestmentFundTaxGroupUnit1	Purchased investment fund units that were purchased prior to the last ex-div date.
GRP2	PurchasedInvestmentFundTaxGroupUnit2	Purchased investment fund units that were purchased since the ex-div date, and that benefit from the tax exemption.

76.1.5.20.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason a financial instrument is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 2012 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.5.21 SubBalanceQuantity5Choice

Definition: Choice between formats for the balance information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1692
Or}	Proprietary <Prtry>	[1..1]	±		1692

76.1.5.21.1 Quantity <Qty>

Presence: [1..1]

Definition: Quantity of financial instrument in the sub-balance.

Quantity <Qty> contains one of the following elements (see [FinancialInstrumentQuantity1Choice](#) on page 1973 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1973
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1974
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		1974

76.1.5.21.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Quantity of financial instrument in the sub-balance expressed in a proprietary format.

Proprietary <Prtry> contains the following elements (see [GenericIdentification56](#) on page 2014 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2014
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015
	Balance <Bal>	[1..1]	Quantity		2015

76.1.5.22 FundBalance1

Definition: Balances of units and cash derived from investment fund orders.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1693
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1693
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1693
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1694

76.1.5.22.1 TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>

Presence: [0..1]

Definition: Total number of units from orders placed in units.

TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.5.22.2 TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>

Presence: [0..1]

Definition: Number of units derived from orders placed in cash.

TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.5.22.3 TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>

Presence: [0..1]

Definition: Total amount of cash derived from orders placed as units.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.22.4 TotalCashFromCashOrders <TtlCshFrCshOrdrs>

Presence: [0..1]

Definition: Total amount of cash from orders placed in cash.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.23 SubBalanceQuantity1Choice

Definition: Choice between formats for the balance information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1695
Or	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1695
Or}	QuantityAndAvailability <QtyAndAvlbtly>	[1..1]			1696
	Quantity <Qty>	[1..1]	±		1696
	AvailabilityIndicator <AvlbtlyInd>	[1..1]	Indicator		1696

76.1.5.23.1 Quantity <Qty>

Presence: [1..1]

Definition: Quantity of securities in the sub-balance.

Quantity <Qty> contains one of the following elements (see [FinancialInstrumentQuantityChoice](#) on page 2911 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		2912
Or	FaceAmount <FaceAmt>	[1..1]	Amount		2912
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		2912

76.1.5.23.2 QuantityAsDSS <QtyAsDSS>

Presence: [1..1]

Definition: Quantity of securities in the sub-balance.

QuantityAsDSS <QtyAsDSS> contains the following elements (see [GenericIdentification6](#) on page 2018 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		2018
	Information <Inf>	[1..1]	Text		2018
	Balance <Bal>	[1..1]	Quantity		2018

76.1.5.23.3 QuantityAndAvailability <QtyAndAvlby>

Presence: [1..1]

Definition: Quantity of securities in the sub-balance and whether the balance is available.

QuantityAndAvailability <QtyAndAvlby> contains the following **QuantityAndAvailability** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1696
	AvailabilityIndicator <AvlbyInd>	[1..1]	Indicator		1696

76.1.5.23.3.1 Quantity <Qty>

Presence: [1..1]

Definition: Quantity of securities in the sub-balance.

Quantity <Qty> contains one of the following elements (see [FinancialInstrumentQuantityChoice](#) on page 2911 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		2912
Or	FaceAmount <FaceAmt>	[1..1]	Amount		2912
Or}	AmortisedValue <AmtsVal>	[1..1]	Amount		2912

76.1.5.23.3.2 AvailabilityIndicator <AvlbyInd>

Presence: [1..1]

Definition: Indicates whether the quantity of securities on the sub-balance is available.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.5.24 SubBalanceInformation2

Definition: Net position of a segregated holding of a single security within the overall position held in the securities account, eg, sub-balance per status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1697
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1697
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1699
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>	[0..*]	±		1699

76.1.5.24.1 Quantity <Qty>

Presence: [1..1]

Definition: Quantity of securities in the sub-balance.

Quantity <Qty> contains one of the following elements (see [SubBalanceQuantity1Choice](#) on page 1695 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1695
Or	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1695
Or}	QuantityAndAvailability <QtyAndAvlby>	[1..1]			1696
	Quantity <Qty>	[1..1]	±		1696
	AvailabilityIndicator <AvlbyInd>	[1..1]	Indicator		1696

76.1.5.24.2 SubBalanceType <SubBalTp>

Presence: [1..1]

Warning Either SubBalanceType or ExtendedSubBalanceType must be present, but not both.

Definition: Reason for the sub-balance.

Datatype: [SecuritiesBalanceType1Code](#) on page 3350

CodeName	Name	Definition
BLOK	Blocked	Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order, death of beneficiary or account owner, or bankruptcy.
BORR	Borrowed	Balance of securities that have been borrowed from another party.
COLI	CollateralIn	Balance of securities that belong to a third party and that are held for the purpose of collateralisation.
COLO	CollateralOut	Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.

CodeName	Name	Definition
LOAN	OnLoan	Balance of securities that have been loaned to a third party.
MARG	DerivativesMargin	Balance of securities that are used as collateral for derivatives.
PDMT	PendingDeliveryMatchedBalance	Balance of securities pending delivery that have been matched. This is only applicable in a CSD to participant communication.
PRMT	PendingReceiptMatchedBalance	Balance of securities pending receipt that have been matched. This is only applicable in a CSD to participant communication.
PRUM	PendingReceiptUnmatchedBalance	Balance of securities pending receipt that are unmatched. This is only applicable in a CSD to participant communication.
PECA	PendingCorporateAction	Balance of securities, before ex-date, that are involved in a corporate action (CA). Securities blocked due to a CA, for example, proxi, in escrow, are to be identified in the BLOK sub-balance.
PEND	PendingDelivery	Balance of securities that are pending delivery.
PENR	PendingReceipt	Balance of securities that are pending receipt.
PLED	Pledged	Balance of securities that are pledged, for example, a financial instrument is unavailable because it has been used or given as a guarantee.
PDUM	PendingDeliveryUnmatchedBalance	Balance of securities pending delivery that are unmatched. This is only applicable in a CSD to participant communication.
REGO	OutForRegistration	Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled.
RSTR	Restricted	Balance of securities that may only be sold under certain conditions or require legal documents.
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
TRAN	InTransshipment	Balance of physical securities that are in transshipment, eg, in the process of being transferred from one depository or agent to another.
DRAW	Drawn	Balance of securities that are drawn for redemption.
WDOC	WaitingDocumentation	Financial instrument is unavailable due to missing or incomplete documentation

CodeName	Name	Definition
		pertaining to the account, or due to a missing or incomplete order.
BTRA	BeingTransferred	Financial instrument is unavailable as a result of a transfer order, pending movement in the shareholders' register.

76.1.5.24.3 ExtendedSubBalanceType <XtndedSubBalTp>

Presence: [1..1]

Warning Either SubBalanceType or ExtendedSubBalanceType must be present, but not both.

Definition: Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

Datatype: [Extended350Code](#) on page 3407

76.1.5.24.4 AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>

Presence: [0..*]

Definition: Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls> contains the following elements (see [AdditionalBalanceInformation2](#) on page 1615 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1615
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1615
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1616

76.1.5.25 BalanceQuantity1Choice

Definition: Choice between formats for the balance information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1699
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1700

76.1.5.25.1 Quantity <Qty>

Presence: [1..1]

Definition: Total quantity of financial instruments of the balance.

Quantity <Qty> contains one of the following elements (see [FinancialInstrumentQuantityChoice](#) on page 2911 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		2912
Or	FaceAmount <FaceAmt>	[1..1]	Amount		2912
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		2912

76.1.5.25.2 QuantityAsDSS <QtyAsDSS>

Presence: [1..1]

Definition: Total quantity of financial instruments of the balance.

QuantityAsDSS <QtyAsDSS> contains the following elements (see [GenericIdentification6](#) on page 2018 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		2018
	Information <Inf>	[1..1]	Text		2018
	Balance <Bal>	[1..1]	Quantity		2018

76.1.5.26 AggregateBalancePerSafekeepingPlace4

Definition: Net position of a segregated holding, in a single security, within the overall position held in a securities account at a specified place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateBalance <AggtBal>	[1..1]	±		1701
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1701
	HoldingValue <HldgVal>	[1..*]	Amount	C3, C12	1702
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1702
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1703
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1704
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1704
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1705
	PriceDetails <PricDtls>	[1..*]	±	C15	1705
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1706
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1706
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1706

Constraints

• **AccruedInterestAmountSignRule**

(Rule)

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

76.1.5.26.1 AggregateBalance <AggtBal>

Presence: [1..1]

Definition: Total quantity of financial instrument for the referenced holding.

AggregateBalance <AggtBal> contains one of the following elements (see [BalanceQuantity1Choice](#) on page 1699 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1699
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1700

76.1.5.26.2 DaysAccrued <DaysAcrd>

Presence: [0..1]

Definition: Specifies the number of days used for calculating the accrued interest amount.

Datatype: [Number on page 3405](#)

76.1.5.26.3 HoldingValue <HldgVal>

Presence: [1..*]

Definition: Total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.26.4 PreviousHoldingValue <PrvsHldgVal>

Presence: [0..1]

Definition: Previous total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.26.5 AccruedInterestAmount <AcrdIntrstAmt>

Presence: [0..1]

Definition: Interest amount that has accrued in between coupon payment periods.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.26.6 AccruedInterestAmountSign <AcrdIntrstAmtSgn>

Presence: [0..1]

Definition: Indicates whether the accrued interest is a positive or negative amount.

Datatype: One of the following values must be used (see [PlusOrMinusIndicator on page 3405](#)):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

76.1.5.26.7 BookValue <BookVal>

Presence: [0..1]

Definition: Value of a security, as booked in an account. Book value is often different from the current market value of the security.

Impacted by: [C3 ActiveOrHistoricCurrency](#) ____, [C12 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount on page 3239](#)

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.5.26.8 SafekeepingPlace <SfkpgPlc>

Presence: [1..1]

Definition: Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Securities Depository (ICSD).

SafekeepingPlace <SfkpgPlc> contains one of the following elements (see [SafekeepingPlaceFormatChoice](#) on page 2898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2898
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2899
	Narrative <Nrrtv>	[0..1]	Text		2899
	Party <Pty>	[0..1]	±		2899
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2900
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C11	2900

76.1.5.26.9 PriceDetails <PricDtls>

Presence: [1..*]

Definition: Price of the financial instrument in one or more currencies.

Impacted by: [C15 ValueRule](#)

PriceDetails <PricDtls> contains the following elements (see [PricInformation2](#) on page 2833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2834
	ValueType <ValTp>	[0..1]	CodeSet		2834
{Or	Type <Tp>	[1..1]	CodeSet		2834
Or}	ExtendedType <XtnDEDTp>	[1..1]	Text		2835
	SourceOfPrice <SrcOfPric>	[0..1]			2835
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2836
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2836
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2836
	QuotationDate <QtnDt>	[0..1]	±		2836
	Yielded <Yldd>	[0..1]	Indicator		2837

Constraints

- **ValueRule**
(Rule)

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

76.1.5.26.10 ForeignExchangeDetails <FXDtIs>

Presence: [0..1]

Definition: Currency exchange related to a securities order.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms6](#) on page 1993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C3	1993
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C3	1994
	ExchangeRate <XchgRate>	[1..1]	Rate		1994
	QuotationDate <QtnDt>	[0..1]	DateTime		1994
	QuotingInstitution <QtgInstn>	[0..1]	±		1994

76.1.5.26.11 BalanceBreakdownDetails <BalBrkdwDtls>

Presence: [0..*]

Definition: Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

BalanceBreakdownDetails <BalBrkdwDtls> contains the following elements (see [SubBalanceInformation2](#) on page 1696 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1697
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1697
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1699
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>	[0..*]	±		1699

76.1.5.26.12 AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>

Presence: [0..*]

Definition: Net position of a segregated holding, in a single security, within the overall position held in a securities account.

AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls> contains the following elements (see [AdditionalBalanceInformation2](#) on page 1615 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1615
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1615
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1616

76.1.6 Cancellation Right

76.1.6.1 CancellationRight1

Definition: Specification of the cancellation right.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		1707
	AdditionalInformation <AddtlInf>	[0..1]	Text		1707

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

76.1.6.1.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: [CancellationRight2Code on page 3252](#)

CodeName	Name	Definition
VALI	Entitled	Investor is entitled to a "cooling off" period with cancellation rights under compliance rules.
NOXO	ExecutionOnly	Investor is not entitled to cancellation rights under compliance rules, as the investor is an execution's only client.
NOWA	WaiverAgreement	Investor is not entitled to cancellation rights under compliance rules as the investor has agreed to waive those rights.
NOIN	Institutional	Investor is not entitled to cancellation rights under compliance rules as the investor is a financial institution.
OTHR	Other	Another type of cancellation right.

76.1.6.1.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the type of charge.

Datatype: [Max350Text on page 3409](#)

76.1.6.2 DateFormat1Choice

Definition: Choice between the formats to express a date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1708
Or	Code <Cd>	[1..1]	CodeSet		1708
Or}	DateTime <DtTm>	[1..1]	DateTime		1708

76.1.6.2.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Datatype: [ISODate on page 3391](#)

76.1.6.2.2 Code <Cd>

Presence: [1..1]

Definition: Date expressed as a code.

Datatype: [SettlementDate1Code on page 3355](#)

CodeName	Name	Definition
ASAP	AsSoonAsPossible	Transfer is to be effected as soon as possible.
ENDC	AtEndOfContract	Transfer is to be effected at the end of the contract.
WHIF	WhenAndIfIssued	Settlement takes place when the financial instrument is issued by the issuer.

76.1.6.2.3 DateTime <DtTm>

Presence: [1..1]

Definition: Date expressed as a calendar date and time.

Datatype: [ISODateTime on page 3391](#)

76.1.7 Cash

76.1.7.1 CashInForecast6

Definition: Cash movements into a fund as a result of investment funds transactions, eg, subscriptions or switch-in.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1709
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1709
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1710
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1710
	AdditionalBalance <AddtlBal>	[0..1]	±		1710

Constraints

• **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.7.1.1 CashSettlementDate <CshSttlmDt>

Presence: [1..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

76.1.7.1.2 SubTotalAmount <SubTtlAmt>

Presence: [0..1]

Definition: Sub-total amount of the cash flow in, expressed as an amount of money.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.7.1.3 SubTotalUnitsNumber <SubTtlUnitsNb>

Presence: [0..1]

Definition: Sub-total amount of the cash flow in, expressed as a number of units.

SubTotalUnitsNumber <SubTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1 on page 2910](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.7.1.4 ExceptionalCashFlowIndicator <XcptnCshFlowInd>

Presence: [0..1]

Definition: Indicates whether the cash flow in is exceptional.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.7.1.5 AdditionalBalance <AddtlBal>

Presence: [0..1]

Definition: Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

AdditionalBalance <AddtIBal> contains the following elements (see [FundBalance1](#) on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1693
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1693
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1693
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1694

76.1.7.2 FundDetailedConfirmedCashForecastReport3

Definition: Information about a cash forecast report.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..1]	±	C14, C15, C16	1712
	FundCashForecastDetails <FndCshFcstDtls>	[1..*]		C11	1714
	Identification <Id>	[1..1]	Text		1716
	TradeDateTime <TradDtTm>	[1..1]	±		1716
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1716
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	1716
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	1717
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	1718
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1718
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1719
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1719
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	1719
	CurrencyStatus <CcySts>	[0..1]	±		1719
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1720
	Price <Pric>	[0..1]	±		1720
	ForeignExchangeRate <FXRate>	[0..1]	±		1720
	PercentageOfShareClassTotalNAV <PctgOfShrClssttlNAV>	[0..1]	Rate		1721
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		1721
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		1721
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		1722
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	1723
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C7	1724
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		1725
	Extension <Xtnsn>	[0..*]	±	C16	1726

76.1.7.2.1 FundOrSubFundDetails <FndOrSubFndDtls>

Presence: [0..1]

Definition: Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.

Impacted by: [C14 FundIdentification1Rule](#), [C15 FundIdentification2Rule](#), [C16 FundIdentification3Rule](#)

FundOrSubFundDetails <FndOrSubFndDtls> contains the following elements (see [Fund4](#) on page 2202 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2204
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2204
	Identification <Id>	[0..1]			2204
	Identification <Id>	[1..1]	Text		2204
	Type <Tp>	[1..1]	±		2205
	Currency <Ccy>	[0..1]	CodeSet	C3	2205
	TotalNAV <TtINAV>	[0..1]	Amount	C3, C12	2205
	PreviousTotalNAV <PrvsTtINAV>	[0..1]	Amount	C3, C12	2206
	TotalUnitsNumber <TtUnitsNb>	[0..1]	±		2207
	PreviousTotalUnitsNumber <PrvsTtUnitsNb>	[0..1]	±		2207
	PercentageOfFundTotalNAV <PctgOfFndTtINAV>	[0..1]	Rate		2207

Constraints

• **FundIdentification1Rule**

(Rule)

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
Or
  /LegalEntityIdentifier Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00348
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification2Rule**

(Rule)

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
Following Must be True
  /Identification Must be present
Or
  /LegalEntityIdentifier Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification3Rule**

(Rule)

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

On Condition
 /LegalEntityIdentifier is absent
Following Must be True
 /Identification Must be present
Or
 /Name Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

76.1.7.2.2 FundCashForecastDetails <FndCshFcstDtIs>

Presence: [1..*]

Definition: Information related to the cash-in and cash-out flows for a specific trade date as a result of transactions in shares in an investment fund, for example, subscriptions, redemptions or switches. The information provided is sorted by pre-defined criteria such as country, institution, currency or user defined criteria.

Impacted by: C11 ExceptionalCashFlowIndicatorRule

FundCashForecastDetails <FndCshFcstDtls> contains the following **FundCashForecast6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1716
	TradeDateTime <TradDtTm>	[1..1]	±		1716
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1716
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	1716
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	1717
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	1718
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1718
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1719
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1719
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	1719
	CurrencyStatus <CcySts>	[0..1]	±		1719
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1720
	Price <Pric>	[0..1]	±		1720
	ForeignExchangeRate <FXRate>	[0..1]	±		1720
	PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>	[0..1]	Rate		1721
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		1721
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		1721
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		1722
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	1723
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C7	1724

Constraints

- **ExceptionalCashFlowIndicatorRule**

(Rule)

If ExceptionalNetCashFlowIndicator is "true" or "1" (Yes), then at least one or more of the following must be present:

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or
 BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or
 BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or
 BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or
 BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

76.1.7.2.2.1 Identification <Id>

Presence: [1..1]

Definition: Unique technical identifier for an instance of a fund cash forecast within a fund cash forecast report as assigned by the issuer of the report.

Datatype: [Max35Text on page 3409](#)

76.1.7.2.2.2 TradeDateTime <TradDtTm>

Presence: [1..1]

Definition: Date and, if required, the time, at which the price has been applied.

TradeDateTime <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.7.2.2.3 PreviousTradeDateTime <PrvsTradDtTm>

Presence: [0..1]

Definition: Previous date and time at which the price was applied.

PreviousTradeDateTime <PrvsTradDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.7.2.2.4 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class to which the cash flow is related.

Impacted by: [C13 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument9 on page 1903](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1903
	Name <Nm>	[0..1]	Text		1904
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1904
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C3	1904
	ClassType <ClsTp>	[0..1]	Text		1905
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1905
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1905
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1906

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

76.1.7.2.2.5 TotalNAV <TtINAV>

Presence: [0..*]

Definition: Total value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: [ActiveOrHistoricCurrencyAndAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.7.2.2.6 PreviousTotalNAV <PrvsTtINAV>

Presence: [0..*]

Definition: Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.7.2.2.7 TotalUnitsNumber <TtIUnitsNb>

Presence: [0..1]

Definition: Total number of investment fund class units that have been issued.

TotalUnitsNumber <TtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.7.2.2.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

Presence: [0..1]

Definition: Previous total number of investment fund class units that have been issued.

PreviousTotalUnitsNumber <PrvsTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.7.2.2.9 TotalNAVChangeRate <TtlNAVChngRate>

Presence: [0..1]

Definition: Rate of change of the net asset value.

Datatype: [PercentageRate](#) on page 3406

76.1.7.2.2.10 InvestmentCurrency <InvstmtCcy>

Presence: [0..*]

Definition: Currency of the investment fund class.

Impacted by: [C3 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyCode](#) on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.7.2.2.11 CurrencyStatus <CcySts>

Presence: [0..1]

Definition: Information about the designation of the share class currency, that is, whether it is for onshore or offshore purposes and other information that may be required. This is typically only required for CNY funds.

CurrencyStatus <CcySts> contains the following elements (see [CurrencyDesignation1](#) on page 2381 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		2382
	Location <Lctn>	[0..1]	CodeSet	C11	2382
	AdditionalInformation <AddtlInf>	[0..1]	Text		2382

76.1.7.2.2.12 ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>

Presence: [1..1]

Definition: Indicates whether the net cash flow is exceptional.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.7.2.2.13 Price <Pric>

Presence: [0..1]

Definition: Price per unit of the trade date.

Price <Pric> contains the following elements (see [UnitPrice19](#) on page 2868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2868
{Or	Code <Cd>	[1..1]	CodeSet		2868
Or}	Proprietary <Prtry>	[1..1]	±		2869
	Value <Val>	[1..1]	±		2870

76.1.7.2.2.14 ForeignExchangeRate <FXRate>

Presence: [0..1]

Definition: Foreign exchange rate.

ForeignExchangeRate <FXRate> contains the following elements (see [ForeignExchangeTerms19](#) on page 1988 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1989
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1989
	ExchangeRate <XchgRate>	[1..1]	Rate		1990

76.1.7.2.2.15 PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>

Presence: [0..1]

Definition: Net cash flow expressed as a percentage of the total NAV for the share class.

Datatype: [PercentageRate](#) on page 3406

76.1.7.2.2.16 BreakdownByParty <BrkdwnByPty>

Presence: [0..*]

Definition: Cash flow by party.

BreakdownByParty <BrkdwnByPty> contains the following elements (see [BreakdownByParty3](#) on page 2443 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]		C1, C2	2443
	AccountIdentification <AcctId>	[0..1]	±		2444
	OwnerIdentification <OwnrId>	[0..1]	±		2445
	AccountServicer <AcctSvcr>	[0..1]	±		2445
	AdditionalParameters <AddtlParams>	[0..1]	±		2445
	CashInForecast <CshInFcst>	[0..*]		C5	2446
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2446
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2446
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2447
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2447
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		2448
	AdditionalBalance <AddtlBal>	[0..1]	±		2448
	CashOutForecast <CshOutFcst>	[0..*]		C6	2449
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2449
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2449
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2450
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2450
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		2451
	AdditionalBalance <AddtlBal>	[0..1]	±		2451
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2452

76.1.7.2.2.17 BreakdownByCountry <BrkdwnByCtry>

Presence: [0..*]

Definition: Cash flow by country.

BreakdownByCountry <BrkdwnByCtry> contains the following elements (see [BreakdownByCountry2](#) on page 2435 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2435
	CashInForecast <CshInFcst>	[0..*]		C5	2436
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2437
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2437
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2437
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2438
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		2438
	AdditionalBalance <AddtlBal>	[0..1]	±		2438
	CashOutForecast <CshOutFcst>	[0..*]		C6	2439
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2440
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2440
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2440
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2441
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		2441
	AdditionalBalance <AddtlBal>	[0..1]	±		2441
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2442

76.1.7.2.2.18 BreakdownByCurrency <BrkdwnByCcy>

Presence: [0..*]

Definition: Cash flow by currency.

BreakdownByCurrency <BrkdwnByCcy> contains the following elements (see [BreakdownByCurrency2](#) on page 2426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C3	2427
	CashOutForecast <CshOutFcst>	[0..*]		C6	2428
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2428
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2428
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2429
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2429
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		2430
	AdditionalBalance <AddtlBal>	[0..1]	±		2430
	CashInForecast <CshInFcst>	[0..*]		C5	2431
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2432
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2432
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2432
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2433
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		2433
	AdditionalBalance <AddtlBal>	[0..1]	±		2433
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2434

76.1.7.2.2.19 BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>

Presence: [0..*]

Definition: Cash flow by a user defined parameter/s.

Impacted by: C17 UserDefinedRule

BreakdownByUserDefinedParameter <BrkdwByUsrDfndParam> contains the following elements
 (see [BreakdownByUserDefinedParameter3](#) on page 2415 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[0..1]		C1, C2	2416
	AccountIdentification <AcctId>	[0..1]	±		2417
	OwnerIdentification <OwnrId>	[0..1]	±		2418
	AccountServicer <AcctSvcr>	[0..1]	±		2418
	Country <Ctry>	[0..1]	CodeSet	C11	2418
	Currency <Ccy>	[0..1]	CodeSet	C3	2419
	UserDefined <UsrDfnd>	[0..1]	±		2419
	CashInForecast <CshInFcst>	[0..*]		C5	2419
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2420
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2420
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2421
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2421
	CashInBreakdownDetails <CshInBrkdwDtls>	[0..*]	±		2421
	AdditionalBalance <AddtlBal>	[0..1]	±		2422
	CashOutForecast <CshOutFcst>	[0..*]		C6	2422
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2423
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2423
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2424
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2424
	CashOutBreakdownDetails <CshOutBrkdwDtls>	[0..*]	±		2424
	AdditionalBalance <AddtlBal>	[0..1]	±		2425
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2425

Constraints

- **UserDefinedRule**

(Rule)

At least one message element in the list (Party, Country, Currency, UserDefined) must be present.
 More than one element in the list (Party, Country, Currency, UserDefined) may be present.

76.1.7.2.2.20 NetCashForecastDetails <NetCshFcstDtls>

Presence: [0..*]

Definition: Net cash movements per financial instrument.

Impacted by: [C7 AdditionalBalanceRule](#)

NetCashForecastDetails <NetCshFcstDtIs> contains the following elements (see [NetCashForecast4](#) on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1734
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1734
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1735
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1735
	AdditionalBalance <AddtlBal>	[0..1]	±		1736

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.7.2.3 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

Presence: [0..1]

Definition: Estimated net cash as a result of the cash-in and cash-out flows.

ConsolidatedNetCashForecast <CnsltdNetCshFcst> contains the following elements (see [NetCashForecast3](#) on page 1732 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1732
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1733
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1733

76.1.7.2.4 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: C16 ExtensionRule

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

76.1.7.3 FundConfirmedCashForecastReport3

Definition: Information about a cash forecast report.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..*]	±	C13, C14, C15	1728
	FundCashForecastDetails <FndCshFcstDtls>	[0..*]	±	C10	1730
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		1731
	Extension <Xtnsn>	[0..*]	±	C16	1732

Constraints

- **ConsolidatedNetCashRule**

(Rule)

If ConsolidatedNetCashForecast is present, then at least one occurrence of either FundOrSubFundDetails or FundCashForecastDetails must be present. Both FundOrSubFundDetails and FundCashForecastDetails may be present.

On Condition

 /ConsolidatedNetCashForecast is present

Following Must be True

 /FundOrSubFundDetails[*] Must be present

 Or /FundCashForecastDetails[*] Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00351

- *Error Text:* ConsolidatedNetCashForecast must not be present.

- **FundOrSubFundAndShareClassGuideline**

(Rule)

When using the message to provide cash in and cash out amounts for more than one fund/sub fund, and more than one share classes, (two or more FundOrSubFundDetails sequences and two or more FundCashForecastDetails sequences and used), in this usage there is no way to determine which share class belongs to which fund/sub fund from the message content itself, which may not be desirable and this type of usage should be bilaterally agreed.

Error handling:

- *Error severity:* Fatal

- *Error Code:*

- *Error Text:*

- **PreviousTradeDate1Rule**

(Rule)

If any occurrence of FundCashForecastDetails is present, then any occurrence of FundOrSubFundDetails/PreviousTradeDateTime is not allowed.

On Condition

 /FundCashForecastDetails[*] is present

Following Must be True

 /FundOrSubFundDetails[*]/PreviousTradeDateTime Must be absent

Error handling:

- *Error severity:* Fatal

- *Error Code:* X00352

- *Error Text:* PreviousDateTime must not be present.

- **TradeDate1Rule**

(Rule)

If any occurrence of FundCashForecastDetails is present, then any occurrence of FundOrSubFundDetails/TradeDateTime is not allowed.

On Condition

 /FundCashForecastDetails[*] is present

Following Must be True

 /FundOrSubFundDetails[*]/TradeDateTime Must be absent

Error handling:

- *Error severity:* Fatal

- *Error Code:* X00353

- *Error Text:* TradeDateTime must not be present.

- **TradeDate2Rule**

(Rule)

If FundCashForecastDetails is not present, then at least one occurrence of FundOrSubFundDetails/TradeDateTime must be present.

On Condition
 /FundCashForecastDetails[*] is absent
Following Must be True
 /FundOrSubFundDetails[*]/TradeDateTime Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00354
- *Error Text:* TradeDateTime must be present.

76.1.7.3.1 FundOrSubFundDetails <FndOrSubFndDtls>

Presence: [0..*]

Definition: Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.

Impacted by: C13 FundIdentification1Rule, C14 FundIdentification2Rule, C15 FundIdentification3Rule

FundOrSubFundDetails <FndOrSubFndDtls> contains the following elements (see [Fund2 on page 2156](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2158
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2158
	Identification <Id>	[0..1]			2158
	Identification <Id>	[1..1]	Text		2159
	Type <Tp>	[1..1]	±		2159
	Currency <Ccy>	[0..1]	CodeSet	C3	2159
	TradeDateTime <TradDtTm>	[0..1]	±		2159
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		2160
	TotalNAV <TtlNAV>	[0..1]	Amount	C3, C12	2160
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	2161
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2161
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		2162
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		2162
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±		2162
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±		2162
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]			2163
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		2163
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	2163
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		2164
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		2164

Constraints

• **FundIdentification1Rule**

(Rule)

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```

On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
Or    /LegalEntityIdentifier Must be present
    
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00348
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification2Rule**

(Rule)

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
Following Must be True
  /Identification Must be present
Or    /LegalEntityIdentifier Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification3Rule**

(Rule)

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /LegalEntityIdentifier is absent
Following Must be True
  /Identification Must be present
Or    /Name Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

76.1.7.3.2 FundCashForecastDetails <FndCshFcstDtIs>

Presence: [0..*]

Definition: Information related to the cash-in and cash-out flows for a specific trade date as a result of investment fund transactions, for example, subscriptions, redemptions or switches to/from a specified investment fund.

Impacted by: C10 ExceptionalCashFlowIndicatorRule

FundCashForecastDetails <FndCshFcstDtls> contains the following elements (see FundCashForecast7 on page 2176 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2177
	TradeDateTime <TradDtTm>	[1..1]	±		2177
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		2178
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	2178
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	2179
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	2179
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2180
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		2180
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		2180
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	2181
	CurrencyStatus <CcySts>	[0..1]	±		2181
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		2181
	Price <Pric>	[0..1]	±		2181
	ForeignExchangeRate <FXRate>	[0..1]	±		2182
	PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>	[0..1]	Rate		2182
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±	C3	2182
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±	C4	2183
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C7	2184

Constraints

- **ExceptionalCashFlowIndicatorRule**

(Rule)

If Exceptional NetCashFlow Indicator is "true" or "1" (Yes), then CashInForecastDetails/ ExceptionalCashFlowIndicator and CashOutForecastDetails/ ExceptionalCashFlowIndicator must be present.

76.1.7.3.3 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

Presence: [0..1]

Definition: Estimated net cash as a result of the cash-in and cash-out flows.

ConsolidatedNetCashForecast <CnsltdNetCshFcst> contains the following elements (see [NetCashForecast3](#) on page 1732 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1732
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1733
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1733

76.1.7.3.4 Extension <Xtnsn>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C16 ExtensionRule](#)

Extension <Xtnsn> contains the following elements (see [Extension1](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

76.1.7.4 NetCashForecast3

Definition: Net cash movement to a fund as a result of investment funds transactions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1732
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1733
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1733

76.1.7.4.1 NetAmount <NetAmt>

Presence: [0..1]

Definition: Net amount of the cash flow, expressed as an amount of money.

Impacted by: [C3 ActiveOrHistoricCurrency](#) ____, [C12 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.7.4.2 NetUnitsNumber <NetUnitsNb>

Presence: [0..1]

Definition: Net amount, expressed as a number of units.

NetUnitsNumber <NetUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.7.4.3 FlowDirection <FlowDrctn>

Presence: [1..1]

Definition: Specifies the direction of the cash flow from the perspective of the fund.

Datatype: [FlowDirectionType1Code](#) on page 3281

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

76.1.7.5 NetCashForecast4

Definition: Net cash movement to a fund as a result of investment funds transactions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1734
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1734
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1735
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1735
	AdditionalBalance <AddtlBal>	[0..1]	±		1736

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.7.5.1 CashSettlementDate <CshSttlmDt>

Presence: [1..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

76.1.7.5.2 NetAmount <NetAmt>

Presence: [0..1]

Definition: Net amount of the cash flow, expressed as an amount of money.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.7.5.3 NetUnitsNumber <NetUnitsNb>

Presence: [0..1]

Definition: Net amount, expressed as a number of units.

NetUnitsNumber <NetUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.7.5.4 FlowDirection <FlowDrctn>

Presence: [1..1]

Definition: Specifies the direction of the cash flow from the perspective of the fund.

Datatype: [FlowDirectionType1Code](#) on page 3281

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

76.1.7.5.5 AdditionalBalance <AddtlBal>

Presence: [0..1]

Definition: Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

AdditionalBalance <AddtlBal> contains the following elements (see [FundBalance1](#) on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1693
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1693
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1693
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1694

76.1.7.6 CashOutForecast6

Definition: Cash movements out of a fund as a result of investment funds transactions, eg, redemptions or switch-out.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1737
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1737
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1737
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1738
	AdditionalBalance <AddtlBal>	[0..1]	±		1738

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

76.1.7.6.1 CashSettlementDate <CshSttlmDt>

Presence: [1..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

76.1.7.6.2 SubTotalAmount <SubTtlAmt>

Presence: [0..1]

Definition: Sub-total amount of the cash flow out, expressed as an amount of money.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.7.6.3 SubTotalUnitsNumber <SubTtlUnitsNb>

Presence: [0..1]

Definition: Sub-total amount of the cash flow out, expressed as a number of units.

SubTotalUnitsNumber <SubTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.7.6.4 ExceptionalCashFlowIndicator <XcptnCshFlowInd>

Presence: [0..1]

Definition: Indicates whether the cash flow out is exceptional.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.7.6.5 AdditionalBalance <AddtlBal>

Presence: [0..1]

Definition: Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

AdditionalBalance <AddtlBal> contains the following elements (see [FundBalance1](#) on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1693
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1693
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1693
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1694

76.1.8 Charge

76.1.8.1 Charge10

Definition: Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]		C17	1739
	Structured <Strd>	[1..1]	CodeSet		1739
	AdditionalInformation <AddtlInf>	[0..1]	Text		1740
	ChargeBasis <ChrgBsis>	[0..1]		C18	1740
	Structured <Strd>	[1..1]	CodeSet		1741
	AdditionalInformation <AddtlInf>	[0..1]	Text		1741
	Amount <Amt>	[1..1]	Amount	C2	1741
	Rate <Rate>	[0..1]	Rate		1742
	RecipientIdentification <RcptId>	[0..1]	±		1742

76.1.8.1.1 Type <Tp>

Presence: [1..1]

Definition: Type of service for which a charge is asked or paid.

Impacted by: [C17 OtherCodeRule](#)

Type <Tp> contains the following **ChargeType1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		1739
	AdditionalInformation <AddtlInf>	[0..1]	Text		1740

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

76.1.8.1.1.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: [ChargeType6Code](#) on page 3256

CodeName	Name	Definition
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
SWIT	Switch	In investment funds, charge related to a switch transaction.

CodeName	Name	Definition
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
DISC	Discount	Charge that has been reduced from the standard initial charge levied by a fund, eg, during a launch period or as negotiated by a funds supermarket / discount broker.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.
MANF	ManagementFee	Fee paid to an investment manager for services. The fee usually includes fund administration costs and investor relationship management. Typically, the amount paid is a percentage of the assets under management.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, eg, Securities and Exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
CHAR	ServiceProvisionFee	Fee paid for the provision of financial services.
OTHR	Other	Another type of charge.
CDSC	ContingencyDeferredSalesCharge	Deferred sales charge.
EQUL	Equalisation	The part of an investor's subscription amount that is held by the fund in order to pay incentive or performance fees at the end of the fiscal year.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
INIT	Initial	Charge paid at the time of the first subscription.

76.1.8.1.1.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the type of charge.

Datatype: [Max350Text on page 3409](#)

76.1.8.1.2 ChargeBasis <ChrgBsis>

Presence: [0..1]

Definition: Method used to calculate a charge.

Impacted by: C18 OtherCodeRule

ChargeBasis <ChrgBsis> contains the following **TaxationBasis1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		1741
	AdditionalInformation <AddtlInf>	[0..1]	Text		1741

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

76.1.8.1.2.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: TaxationBasis3Code on page 3360

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.
OTHR	Other	Another type of taxation basis.

76.1.8.1.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the type of taxation basis.

Datatype: Max350Text on page 3409

76.1.8.1.3 Amount <Amt>

Presence: [1..1]

Definition: Amount of money asked or paid for the charge.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.8.1.4 Rate <Rate>

Presence: [0..1]

Definition: Rate used to calculate the amount of the charge or fee.

Datatype: [PercentageRate on page 3406](#)

76.1.8.1.5 RecipientIdentification <RcptId>

Presence: [0..1]

Definition: Party entitled to the amount of money resulting from a charge.

RecipientIdentification <RcptId> contains one of the following elements (see [PartyIdentification2Choice on page 2493](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.8.2 CostsAndCharges2

Definition: Costs and charges associated with the distribution or selling of a financial instrument. These may be one-off or recurring charges. These may be intended (ex ante) or actual (ex post).

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExAnteReferenceDate <ExAnteRefDt>	[0..1]	Date		1744
	IndividualCostOrCharge <IndvCostOrChrg>	[1..*]		C13, C14, C27, C28	1744
	CostType <CostTp>	[1..1]			1745
{Or	Code <Cd>	[1..1]	CodeSet		1745
Or}	Proprietary <Prtry>	[1..1]	±		1751
	ExAnteOrExPost <ExAnteOrExPst>	[1..1]	CodeSet		1751
	Amount <Amt>	[0..1]	Amount	C2	1751
	Sign <Sgn>	[0..1]	Indicator		1752
	Rate <Rate>	[0..1]	Rate		1752
	ReferencePeriod <RefPrd>	[0..1]			1752
	StartDate <StartDt>	[1..1]	Date		1752
	EndDate <EndDt>	[1..1]	Date		1752
	AdditionalInformation <AddtlInf>	[0..1]	±		1752
	AdditionalInformation <AddtlInf>	[0..1]	±		1753

Constraints

• **ExAnteReferenceDateGuideline**

(Rule)

The ex-ante reference date should not be confused with the reporting date as specified in the European MiFID Template (EMT) reference 00050.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

• **IndividualCostAndCharge1Guideline**

(Rule)

If ExAnteReferenceDate is present, then all repetitions of IndividualCostOrCharge must specify Ex Ante costs

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

76.1.8.2.1 ExAnteReferenceDate <ExAnteRefDt>

Presence: [0..1]

Definition: Reference date applicable to all ex ante cost and charge disclosures. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07160.

Datatype: ISODate on page 3391

76.1.8.2.2 IndividualCostOrCharge <IndvCostOrChrg>

Presence: [1..*]

Definition: Individual cost or charge associated with the distribution of selling of the financial instrument. This may be one-off or recurring. This may be ex ante (intended) or post ante (actual).

Impacted by: C13 ExAnteOrExPost1Guideline, C14 ExAnteOrExPost2Guideline, C27 SignAmount1Rule, C28 SignAmount2Rule

IndividualCostOrCharge <IndvCostOrChrg> contains the following **IndividualCostOrCharge2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CostType <CostTp>	[1..1]			1745
{Or	Code <Cd>	[1..1]	CodeSet		1745
Or}	Proprietary <Prtry>	[1..1]	±		1751
	ExAnteOrExPost <ExAnteOrExPst>	[1..1]	CodeSet		1751
	Amount <Amt>	[0..1]	Amount	C2	1751
	Sign <Sgn>	[0..1]	Indicator		1752
	Rate <Rate>	[0..1]	Rate		1752
	ReferencePeriod <RefPrd>	[0..1]			1752
	StartDate <StartDt>	[1..1]	Date		1752
	EndDate <EndDt>	[1..1]	Date		1752
	AdditionalInformation <AddtlInf>	[0..1]	±		1752

Constraints

- **ExAnteOrExPost1Guideline**

(Rule)

If ExAnteOrExPost contains ANTE then CostType must be an ex ante cost or charge.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

- **ExAnteOrExPost2Guideline**

(Rule)

If ExAnteOrExPost contains POST then CostType must be an ex post cost or charge.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

• **SignAmount1Rule**

(Rule)

If Amount is not present, then Sign is not allowed.

```
On Condition
    /Amount is absent
Following Must be True
    /Sign Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00496
- *Error Text:* Sign is not allowed.

• **SignAmount2Rule**

(Rule)

Sign must only be used to express a negative value for Amount.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.8.2.2.1 CostType <CostTp>

Presence: [1..1]

Definition: Type of cost or charge.

CostType <CostTp> contains one of the following **ChargeType8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1745
Or}	Proprietary <Prtry>	[1..1]	±		1751

76.1.8.2.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Cost or charge expressed as a code.

Datatype: InvestmentFundMiFIDFee2Code on page 3296

CodeName	Name	Definition
BORF	BorrowingCostFund	Financing costs related to borrowing for the purposes of gearing expressed as a percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07105 and 08045.
DIS2	DistributionFee	Distribution fee. This fee is included in the total on going costs and is not included in the management fee. It is only applicable if the product has this feature. The cost reported should reflect the current running distribution fee. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07120 and 08060 and this a percentage of the NAV of the financial instrument expressed in annualised terms (rate of cost deduction to be applied).
FES3	GrossOneOffEntryCostStructured	Gross one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08010 and may be specified as an actual amount or a percentage of the reference value, EMT reference 08110 or 08120, and should only incorporate manufacturer costs (that is, the cost of the financial instrument) and distributor costs upfront when known by the manufacturer. It should, however, not include distribution fees added on top of the product price by distributors that is out of control of the manufacturer.
FEND	GrossOneOffMaximumEntryCostNonAcquired	Gross one-off maximum entry cost not acquired to the fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07020 and is a percentage of the amount to be invested. This fee is paid by the investor to the fund or fund management company. This is indicative and should be adapted by the distributor according to the agreement with the asset manager.
FES2	GrossOneOffMaximumEntryCostStructured	Gross maximum one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07020 or 08120, and is the 'ask price' or 'fair value'. It may be specified as an actual amount or a percentage of the reference value, EMT reference 07150, and should only incorporate manufacturer costs (that is, the cost of the financial instrument) and distributor costs upfront when known by the manufacturer. It should, however, not include distribution fees added on top of the product price by distributors that are out of control of the manufacturer.

CodeName	Name	Definition
GOC1	GrossOngoingCosts	Gross on-going costs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07100 and 08030 and is a percentage of the NAV of the financial product, expressed in annualised terms (rate of cost deduction to be applied). This includes management fees and distribution fees and excludes all transaction costs, incidental costs and performance fees. Costs reported should reflect current running ongoing costs. The gross on-going costs is expressed as a percentage of the NAV of the financial instrument per annum.
GOCS	GrossOngoingCostsStructured	Gross on-going costs for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07100 and 08030 and is expressed as a percentage of the NAV or currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 or 08110.
INCF	IncidentalCosts	Fee that covers incidental costs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07140 and 08080 and is expressed as a percentage of the NAV. Includes performance fees and other costs.
INCS	IncidentalCostsStructured	Fee that covers incidental costs for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07140 and 08080 and is expressed as a percentage of the NAV or a currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 and 08110.
MNF1	ManagementFee	Management fee paid to an investment manager for services. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07110 and 08050 and is a percentage of the NAV of the financial product expressed in annualised terms (rate of cost deduction to be applied). These fees are included in total ongoing costs and are fees used by distributors to calculate retrocession fees. The costs reported should reflect current running management costs.
MANS	ManagementFeeStructured	Management fee for a structured product. When used in reference to MiFID, this is in the scope of the

CodeName	Name	Definition
		European MiFID Template (EMT) reference 07110 and 08050 and is expressed as a percentage of the NAV or a currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 or 08110.
NET2	NetOneOffEntryCostExPostStructured	Net one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08015 and is minus the upfront distribution fee. The cost reported is a net disclosure and therefore the upfront distributor fee is equal to the difference between the gross one-off entry cost (EMT reference 08010) and the net one-off entry (EMT reference 08015).
NESF	NetOneOffEntryCostNonAcquiredStructuredFund	Net one-off entry cost for a structured fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07025. This is expressed as a percentage of the amount to be invested.
NETO	NetOneOffEntryCostStructuredNonAcquired	Net one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07025 and is minus the upfront distribution fee. The cost reported is a net disclosure and therefore the upfront distributor fee is equal to the difference between the one-off entry cost (EMT reference 07020) and the net one-off entry (EMT reference 07025).
NRAM	NotionalReferenceAmount	Notional reference amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07155 and 08120. This is the amount expressed as a number of currency units to which a unit disclosed ex-post cost is based and to which a percentage disclosed cost should be multiplied in order to retrieve the unit cost.
OOEA	OneOffEntryCostAcquired	Percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08025.
OOSF	OneOffExitCostPriorStructuredProductFund	One-off exit cost prior to the recommended holding period (RHP). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07090 and may be specified as a percentage of the amount to be divested.

CodeName	Name	Definition
OOSS	OneOffExitCostPriorStructuredSecurities	One-off exit cost prior to the recommended holding period (RHP). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07090 and is specified as an actual amount or a percentage of the reference value, EMT reference 07150 or 07155.
BENS	OneOffExitCostStructured	One off exit cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08020 and when expressed as a percentage, this is a percentage of the reference value, EMT reference 08110 or 08120.
ENAC	OneOffMaximumEntryCostAcquired	Maximum cost of the one-off entry fee. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07040 and is the subscription fees acquired to the fund. It is not included in the one off entry cost 07020. This maximum one-off entry cost acquired to the fund is specified as a percentage of the amount to be invested.
ENFX	OneOffMaximumEntryCostFixedAmountItaly	Maximum one-off entry cost fixed amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07030 and is a flat fee defined by the fund or fund management company. This is indicative and should be adapted by the distributor according to the relationship between the fund and the distribution. This cost is not taken into account in the gross one-off maximum entry cost (FEND), EMT reference 07020.
EXAC	OneOffMaximumExitCostAcquired	Maximum cost of the one-off exit fee acquired to the fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07070. It is not included in the one off maximum exit cost EMT reference 07050. This is paid by the investor to the fund or fund management company. This is a percentage of the NAV.
ENBX	OneOffMaximumExitCostFixedAmountItaly	Maximum one-off exit cost, a maximum fixed amount per redemption. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07060 and is flat fee defined by the fund or fund management company. It is indicative and should be adapted distributor according to the relationship between the fund and the distribution. This cost is not taken into account in the one-off maximum exit cost EMT reference 07050.

CodeName	Name	Definition
BEND	OneOffMaximumExitCostNonAcquired	Maximum cost of the one-off exit fee not acquired to the fund that could happen at a certain time during the life of the product. This is a percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07050.
PENO	OneOffTypicalExitCost	<p>One-off typical exit current exit cost linked to the recommended holding period (RHP) or time to maturity. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07080 and are the 'normal' fees if the client holds the product until maturity or during the RHP.</p> <p>Example: a product with a 5 year maturity has exit costs of:</p> <ul style="list-style-type: none"> - 4% after 1 and 2 years - 3% after 3 years - 1% after 4 years - 0 at maturity <p>Then maximum exit cost: 4%.</p> <p>Typical cost : 0</p>
OTES	OneOffTypicalExitCostsStructured	One-off typical exit cost linked to the recommended holding period (RHP) for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07080 and may be specified as an actual amount or a percentage of the reference value, EMT reference 07150 or 07155.
OCAS	OngoingCostsAccumulatedStructured	Sum of daily recurring product costs accumulated during the year until the ex post reference date. This is typically specified as an actual amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08040.
RPSS	ReferencePrice	Reference Price. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07150 and 08110 and is the instrument price to which a unit disclosed ex-post cost is based and to which a percentage disclosed cost should be multiplied in order to retrieve the unit cost.

CodeName	Name	Definition
TRS1	TransactionCost	Cost associated with the transaction. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07130 and 08070 and this is a percentage of the NAV of the financial instrument expressed in annualised terms (rate of cost deduction to be applied).

76.1.8.2.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Cost or charge expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.8.2.2.2 ExAnteOrExPost <ExAnteOrExPst>

Presence: [1..1]

Definition: Specifies if the cost or charge is ex ante (intended) or post ante (actual).

Datatype: [IntendedOrActual2Code on page 3294](#)

CodeName	Name	Definition
ANTE	ExAnte	Ex ante (intended).
POST	ExPost	Ex post (actual).

76.1.8.2.2.3 Amount <Amt>

Presence: [0..1]

Definition: Amount of the cost or charge.

Impacted by: C2 ActiveCurrency

Datatype: [ActiveCurrencyAnd13DecimalAmount on page 3237](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.8.2.2.4 Sign <Sgn>

Presence: [0..1]

Definition: Indicates a negative amount.

Datatype: One of the following values must be used (see [PlusOrMinusIndicator](#) on page 3405):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

76.1.8.2.2.5 Rate <Rate>

Presence: [0..1]

Definition: Rate of the cost or charge.

Datatype: [PercentageRate](#) on page 3406

76.1.8.2.2.6 ReferencePeriod <RefPrd>

Presence: [0..1]

Definition: Start date and end date of the reference period for the ex post cost or charge. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08090 and 08100.

ReferencePeriod <RefPrd> contains the following **Period15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StartDate <StartDt>	[1..1]	Date		1752
	EndDate <EndDt>	[1..1]	Date		1752

76.1.8.2.2.6.1 StartDate <StartDt>

Presence: [1..1]

Definition: Date on which the range starts.

Datatype: [ISODate](#) on page 3391

76.1.8.2.2.6.2 EndDate <EndDt>

Presence: [1..1]

Definition: Date on which the range ends.

Datatype: [ISODate](#) on page 3391

76.1.8.2.2.7 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the individual cost or charge.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.8.2.3 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about costs and charges.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.8.3 Fees2

Definition: Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1754
	IndividualFee <IndvFee>	[0..*]			1755
	Type <Tp>	[1..1]			1755
{Or	Code <Cd>	[1..1]	CodeSet		1755
Or}	Proprietary <Prtry>	[1..1]	±		1756
	Basis <Bsis>	[0..1]			1756
{Or	Code <Cd>	[1..1]	CodeSet		1756
Or}	Proprietary <Prtry>	[1..1]	±		1757
	Amount <Amt>	[1..1]	Amount	C2, C10	1757
	DiscountDetails <DscntDtls>	[0..1]		C13	1758
	Amount <Amt>	[0..1]	Amount	C2, C10	1758
	Rate <Rate>	[0..1]	Rate		1759
	Basis <Bsis>	[0..1]			1759
{Or	Code <Cd>	[1..1]	CodeSet		1759
Or}	Proprietary <Prtry>	[1..1]	±		1760
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1760
	RecipientIdentification <RcptId>	[0..1]	±		1760

Constraints

• **FeeTaxElementRule**

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

76.1.8.3.1 CommercialAgreementReference <ComrcIAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

76.1.8.3.2 IndividualFee <IndvFee>

Presence: [0..*]

Definition: Individual fee (charge/commission).

IndividualFee <IndvFee> contains the following **Fee7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1755
{Or	Code <Cd>	[1..1]	CodeSet		1755
Or}	Proprietary <Prtry>	[1..1]	±		1756
	Basis <Bsis>	[0..1]			1756
{Or	Code <Cd>	[1..1]	CodeSet		1756
Or}	Proprietary <Prtry>	[1..1]	±		1757
	Amount <Amt>	[1..1]	Amount	C2, C10	1757
	DiscountDetails <DscntDtls>	[0..1]		C13	1758
	Amount <Amt>	[0..1]	Amount	C2, C10	1758
	Rate <Rate>	[0..1]	Rate		1759
	Basis <Bsis>	[0..1]			1759
{Or	Code <Cd>	[1..1]	CodeSet		1759
Or}	Proprietary <Prtry>	[1..1]	±		1760
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1760
	RecipientIdentification <Rcptld>	[0..1]	±		1760

76.1.8.3.2.1 Type <Tp>

Presence: [1..1]

Definition: Type of fee.

Type <Tp> contains one of the following **ChargeType6Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1755
Or}	Proprietary <Prtry>	[1..1]	±		1756

76.1.8.3.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of fee expressed as a code.

Datatype: InvestmentFundFee2Code on page 3296

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
TRAN	TransferFee	In investment funds, a fee charged for the transfer of ownership of an investment fund.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SPCN	SpecialConcessions	Fees, drawdown, or other reduction from or in addition to the deal price.

76.1.8.3.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of fee expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.8.3.2.2 Basis <Bsis>

Presence: [0..1]

Definition: Method used to calculate the fee.

Basis <Bsis> contains one of the following **ChargeBasis2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1756
Or}	Proprietary <Prtry>	[1..1]	±		1757

76.1.8.3.2.2.1 Code <Cd>

Presence: [1..1]

Definition: Fee (charge/commission) basis expressed as a code.

Datatype: [TaxationBasis5Code on page 3360](#)

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

76.1.8.3.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Fee (charge/commission) basis expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.8.3.2.3 Amount <Amt>

Presence: [1..1]

Definition: Fee amount.

Impacted by: [C2 ActiveCurrency](#) ____, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount on page 3238](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.8.3.2.4 DiscountDetails <DscntDtIs>

Presence: [0..1]

Definition: Discount or waiver applied to the fee.

Impacted by: [C13 DiscountElementRule](#)

DiscountDetails <DscntDtIs> contains the following **ChargeOrCommissionDiscount2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1758
	Rate <Rate>	[0..1]	Rate		1759
	Basis <Bsis>	[0..1]			1759
{Or	Code <Cd>	[1..1]	CodeSet		1759
Or}	Proprietary <Prtry>	[1..1]	±		1760

Constraints

• **DiscountElementRule**

(Rule)

Amount Or Rate Or Basis must be present.

Following Must be True

- /Amount Must be present
- Or /Rate Must be present
- Or /Basis Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

76.1.8.3.2.4.1 Amount <Amt>

Presence: [0..1]

Definition: Amount of discount or waiver.

Impacted by: [C2 ActiveCurrency](#), [C10 CurrencyAmount](#)

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.8.3.2.4.2 Rate <Rate>

Presence: [0..1]

Definition: Rate of discount or waiver.

Datatype: [PercentageRate on page 3406](#)

76.1.8.3.2.4.3 Basis <Bsis>

Presence: [0..1]

Definition: Form of the discount or rebate.

Basis <Bsis> contains one of the following **WaivingInstruction2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1759
Or}	Proprietary <Prtry>	[1..1]	±		1760

76.1.8.3.2.4.3.1 Code <Cd>

Presence: [1..1]

Definition: Type of discount or waiving expressed as a code.

Datatype: [WaivingInstruction1Code on page 3391](#)

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

76.1.8.3.2.4.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of discount or waiving expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.8.3.2.5 ChargeBearer <ChrgBr>

Presence: [0..1]

Definition: Party that bears the fee.

Datatype: [ChargeBearer1Code](#) on page 3254

CodeName	Name	Definition
OUR	BorneByDebtor	All transaction charges are to be borne by the debtor.
BEN	BorneByCreditor	All transaction charges are to be borne by the creditor.
SHA	Shared	Under the credit transfer scenario, transaction charges on the sender's side are to be borne by the debtor; transaction charges on the receiver's side are to be borne by the creditor.

76.1.8.3.2.6 RecipientIdentification <Rcptld>

Presence: [0..1]

Definition: Party entitled to the amount of money resulting from the fee.

RecipientIdentification <Rcptld> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.8.4 Fee5

Definition: Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1762
{Or	Code <Cd>	[1..1]	CodeSet		1762
Or}	Proprietary <Prtry>	[1..1]	±		1763
	Basis <Bsis>	[0..1]			1763
{Or	Code <Cd>	[1..1]	CodeSet		1763
Or}	Proprietary <Prtry>	[1..1]	±		1764
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1764
	StandardRate <StdRate>	[0..1]	Rate		1765
	DiscountDetails <DscntDtls>	[0..1]		C14	1765
	Amount <Amt>	[0..1]	Amount	C2, C10	1766
	Rate <Rate>	[0..1]	Rate		1767
	Basis <Bsis>	[0..1]			1767
{Or	Code <Cd>	[1..1]	CodeSet		1767
Or}	Proprietary <Prtry>	[1..1]	±		1767
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1768
	AppliedRate <ApldRate>	[0..1]	Rate		1768
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1768
	RecipientIdentification <Rcptld>	[0..1]	±		1768
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1769

Constraints

- **AppliedAmountRule**

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

 /InformativeIndicator is equal to value 'false'

 Or /InformativeIndicator is equal to value '0'

Following Must be True

 /AppliedAmount Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00400

– *Error Text:* AppliedAmount must be present.

76.1.8.4.1 Type <Tp>

Presence: [1..1]

Definition: Type of fee (charge/commission).

Type <Tp> contains one of the following **ChargeType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1762
Or}	Proprietary <Prtry>	[1..1]	±		1763

76.1.8.4.1.1 Code <Cd>

Presence: [1..1]

Definition: Fee (charge/commission) expressed as a code.

Datatype: [InvestmentFundFee1Code](#) on page 3295

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.

CodeName	Name	Definition
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SWIT	Switch	In investment funds, charge related to a switch transaction.
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

76.1.8.4.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Fee (charge/commission) expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.8.4.2 Basis <Bsis>

Presence: [0..1]

Definition: Method used to calculate the fee (charge/commission).

Basis <Bsis> contains one of the following **ChargeBasis2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1763
Or}	Proprietary <Prtry>	[1..1]	±		1764

76.1.8.4.2.1 Code <Cd>

Presence: [1..1]

Definition: Fee (charge/commission) basis expressed as a code.

Datatype: [TaxationBasis5Code on page 3360](#)

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

76.1.8.4.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Fee (charge/commission) basis expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.8.4.3 StandardAmount <StdAmt>

Presence: [0..1]

Definition: Standard fee (charge/commission) amount as specified in the fund prospectus or agreed for the account.

Impacted by: [C2 ActiveCurrency](#)__, [C10 CurrencyAmount](#)__

Datatype: [ActiveCurrencyAndAmount on page 3238](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text*: Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00007

– *Error Text*: Invalid currency code or too many decimal digits.

76.1.8.4.4 StandardRate <StdRate>

Presence: [0..1]

Definition: Standard fee (charge/commission) rate used to calculate the amount of the charge or fee, as specified in the fund prospectus or agreed for the account.

Datatype: PercentageRate on page 3406

76.1.8.4.5 DiscountDetails <DscntDtls>

Presence: [0..1]

Definition: Discount or waiver applied to the fee (charge/commission).

Impacted by: C14 DiscountElementRule

DiscountDetails <DscntDtls> contains the following **ChargeOrCommissionDiscount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1766
	Rate <Rate>	[0..1]	Rate		1767
	Basis <Bsis>	[0..1]			1767
{Or	Code <Cd>	[1..1]	CodeSet		1767
Or}	Proprietary <Prtry>	[1..1]	±		1767

Constraints

• **DiscountElementRule**

(Rule)

Amount Or Rate Or Basis must be present.

Following Must be True

/Amount Must be present

Or /Rate Must be present

Or /Basis Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

76.1.8.4.5.1 Amount <Amt>

Presence: [0..1]

Definition: Difference between the standard fee (charge/commission) amount and the applied fee (charge/commission) amount.

EXAMPLE:

Standard charge is EUR 100

Discount is EUR 30

Applied charge is EUR 70.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.8.4.5.2 Rate <Rate>

Presence: [0..1]

Definition: Difference between the standard fee (charge/commission) rate and the applied rate of the fee (charge/commission).

EXAMPLE:

Standard rate is 5%

Discount rate is 3%

Applied rate is 2%.

Datatype: [PercentageRate](#) on page 3406

76.1.8.4.5.3 Basis <Bsis>

Presence: [0..1]

Definition: Form of the discount or rebate, for example, cash.

Basis <Bsis> contains one of the following **WaivingInstruction2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1767
Or}	Proprietary <Prtry>	[1..1]	±		1767

76.1.8.4.5.3.1 Code <Cd>

Presence: [1..1]

Definition: Type of discount or waiving expressed as a code.

Datatype: [WaivingInstruction1Code](#) on page 3391

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

76.1.8.4.5.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of discount or waiving expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.8.4.6 AppliedAmount <ApldAmt>

Presence: [0..1]

Definition: Fee (charge/commission) amount applied to the transaction.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.8.4.7 AppliedRate <ApldRate>

Presence: [0..1]

Definition: Final rate used to calculate the fee (charge/commission) amount.

Datatype: PercentageRate on page 3406

76.1.8.4.8 NonStandardSLAReference <NonStdSLARef>

Presence: [0..1]

Definition: Reference to a sales agreement that overrides normal processing or the Service Level Agreement (SLA), such as a fee (charge/commission).

Datatype: Max35Text on page 3409

76.1.8.4.9 RecipientIdentification <RcptId>

Presence: [0..1]

Definition: Party entitled to the amount of money resulting from a fee (charge/commission).

RecipientIdentification <RcptId> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.8.4.10 InformativIndicator <InftvInd>

Presence: [1..1]

Definition: Indicates the information is provided for information purposes only. When the value is 'false' or '0' the amount provided is taken into consideration in the transaction overhead. When the value is 'true' or '1' the amount provided is not taken into consideration in the transaction overhead.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.8.5 Fee3

Definition: Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1770
{Or	Code <Cd>	[1..1]	CodeSet		1770
Or}	Proprietary <Prtry>	[1..1]	±		1771
	RepairedStandardAmount <RprdStdAmt>	[0..1]	Amount	C2, C10	1772
	RepairedStandardRate <RprdStdRate>	[0..1]	Rate		1772
	RepairedDiscountAmount <RprdDscntAmt>	[0..1]	Amount	C2, C10	1773
	RepairedDiscountRate <RprdDscntRate>	[0..1]	Rate		1773
	RepairedRequestedAmount <RprdReqdAmt>	[0..1]	Amount	C2, C10	1773
	RepairedRequestedRate <RprdReqdRate>	[0..1]	Rate		1774
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1774
	NewCommercialAgreementReferenceIndicator <NewComrcAgrmtRefInd>	[0..1]	Indicator		1775

Constraints

- **CommercialAgreementRule**
(Rule)

If CommercialAgreementReference is present, then NewCommercialAgreementReferenceIndicator must be present too.

On Condition

/CommercialAgreementReference is present

Following Must be True

/NewCommercialAgreementReferenceIndicator Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00399
- *Error Text:* NewCommercialAgreementReferenceIndicator must be present.

• **FeeElementRule**

(Rule)

One of the elements (Type, RepairedStandardAmount, RepairedStandardRate, RepairedDiscountAmount, RepairedDiscountRate, RepairedRequestedAmount, RepairedRequestedRate, CommercialAgreementReference, NewCommercialAgreementReferenceIndicator) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.8.5.1 Type <Tp>

Presence: [0..1]

Definition: Type of fee (charge/commission).

Type <Tp> contains one of the following **ChargeType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1770
Or}	Proprietary <Prtry>	[1..1]	±		1771

76.1.8.5.1.1 Code <Cd>

Presence: [1..1]

Definition: Fee (charge/commission) expressed as a code.

Datatype: [InvestmentFundFee1Code on page 3295](#)

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.

CodeName	Name	Definition
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/ intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SWIT	Switch	In investment funds, charge related to a switch transaction.
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

76.1.8.5.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Fee (charge/commission) expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchemeNm>	[0..1]	Text		2015

76.1.8.5.2 RepairedStandardAmount <RprdStdAmt>

Presence: [0..1]

Definition: Modified value of the standard fee (charge/commission) amount applied on the order (the standard fee (charge/commission) amount in the original individual order that has been repaired so that the order can be accepted).

Impacted by: [C2 ActiveCurrency](#) ____, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.8.5.3 RepairedStandardRate <RprdStdRate>

Presence: [0..1]

Definition: Modified value of the standard fee (charge/commission) rate applied on the order (the standard fee (charge/commission) rate in the original individual order that has been repaired so that the order can be accepted).

Datatype: PercentageRate on page 3406

76.1.8.5.4 RepairedDiscountAmount <RprdDscntAmt>

Presence: [0..1]

Definition: Modified value of the discount amount applied on the order (the discount amount in the original individual order that has been repaired so that the order can be accepted).

Impacted by: C2 ActiveCurrency__, C10 CurrencyAmount__

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.8.5.5 RepairedDiscountRate <RprdDscntRate>

Presence: [0..1]

Definition: Modified value of the discount rate applied on the order (the discount rate in the original individual order that has been repaired so that the order can be accepted).

Datatype: PercentageRate on page 3406

76.1.8.5.6 RepairedRequestedAmount <RprdReqdAmt>

Presence: [0..1]

Definition: Modified value of the requested fee (charge/commission) amount applied on the order (the requested fee (charge/commission) amount in the original individual order that has been repaired so that the order can be accepted).

Impacted by: C2 ActiveCurrency ____, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.8.5.7 RepairedRequestedRate <RprdReqdRate>

Presence: [0..1]

Definition: Modified value of the requested fee (charge/commission) rate applied on the order (the requested fee (charge/commission) rate in the original individual order that has been repaired so that the order can be accepted).

Datatype: PercentageRate on page 3406

76.1.8.5.8 CommercialAgreementReference <ComrcAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

76.1.8.5.9 NewCommercialAgreementReferenceIndicator <NewComrcIAgrmtRefInd>

Presence: [0..1]

Definition: Indicates if the CommercialAgreementReference is a new reference or not.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.8.6 Fee2

Definition: Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1776
{Or	Code <Cd>	[1..1]	CodeSet		1776
Or}	Proprietary <Prtry>	[1..1]	±		1777
	Basis <Bsis>	[0..1]			1777
{Or	Code <Cd>	[1..1]	CodeSet		1778
Or}	Proprietary <Prtry>	[1..1]	±		1778
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1778
	StandardRate <StdRate>	[0..1]	Rate		1779
	DiscountDetails <DscntDtls>	[0..1]		C14	1779
	Amount <Amt>	[0..1]	Amount	C2, C10	1780
	Rate <Rate>	[0..1]	Rate		1781
	Basis <Bsis>	[0..1]			1781
{Or	Code <Cd>	[1..1]	CodeSet		1781
Or}	Proprietary <Prtry>	[1..1]	±		1781
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1782
	AppliedRate <ApldRate>	[0..1]	Rate		1782
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1783
	RecipientIdentification <Rcptld>	[0..1]	±		1783
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1783

Constraints

- **AppliedAmountRule**
(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00400
- *Error Text:* AppliedAmount must be present.

76.1.8.6.1 Type <Tp>

Presence: [1..1]

Definition: Type of fee (charge/commission).

Type <Tp> contains one of the following **ChargeType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1776
Or}	Proprietary <Prtry>	[1..1]	±		1777

76.1.8.6.1.1 Code <Cd>

Presence: [1..1]

Definition: Fee (charge/commission) expressed as a code.

Datatype: InvestmentFundFee1Code on page 3295

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.

CodeName	Name	Definition
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SWIT	Switch	In investment funds, charge related to a switch transaction.
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

76.1.8.6.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Fee (charge/commission) expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.8.6.2 Basis <Bsis>

Presence: [0..1]

Definition: Method used to calculate the fee (charge/commission).

Basis <Bsis> contains one of the following **ChargeBasis2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1778
Or}	Proprietary <Prtry>	[1..1]	±		1778

76.1.8.6.2.1 Code <Cd>

Presence: [1..1]

Definition: Fee (charge/commission) basis expressed as a code.

Datatype: [TaxationBasis5Code](#) on page 3360

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

76.1.8.6.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Fee (charge/commission) basis expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.8.6.3 StandardAmount <StdAmt>

Presence: [0..1]

Definition: Standard fee (charge/commission) amount as specified in the fund prospectus or agreed for the account.

Impacted by: [C2 ActiveCurrency](#) ____, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**
(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.8.6.4 StandardRate <StdRate>

Presence: [0..1]

Definition: Standard fee (charge/commission) rate used to calculate the amount of the charge or fee, as specified in the fund prospectus or agreed for the account.

Datatype: PercentageRate on page 3406

76.1.8.6.5 DiscountDetails <DscntDtls>

Presence: [0..1]

Definition: Discount or waiver applied to the fee (charge/commission).

Impacted by: C14 DiscountElementRule

DiscountDetails <DscntDtls> contains the following **ChargeOrCommissionDiscount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1780
	Rate <Rate>	[0..1]	Rate		1781
	Basis <Bsis>	[0..1]			1781
{Or	Code <Cd>	[1..1]	CodeSet		1781
Or}	Proprietary <Prtry>	[1..1]	±		1781

Constraints

- **DiscountElementRule**

(Rule)

Amount Or Rate Or Basis must be present.

Following Must be True

 /Amount Must be present
Or /Rate Must be present
Or /Basis Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

76.1.8.6.5.1 Amount <Amt>

Presence: [0..1]

Definition: Difference between the standard fee (charge/commission) amount and the applied fee (charge/commission) amount.

EXAMPLE:

Standard charge is EUR 100

Discount is EUR 30

Applied charge is EUR 70.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.8.6.5.2 Rate <Rate>

Presence: [0..1]

Definition: Difference between the standard fee (charge/commission) rate and the applied rate of the fee (charge/commission).

EXAMPLE:

Standard rate is 5%

Discount rate is 3%

Applied rate is 2%.

Datatype: [PercentageRate on page 3406](#)

76.1.8.6.5.3 Basis <Bsis>

Presence: [0..1]

Definition: Form of the discount or rebate, for example, cash.

Basis <Bsis> contains one of the following **WaivingInstruction2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1781
Or}	Proprietary <Prtry>	[1..1]	±		1781

76.1.8.6.5.3.1 Code <Cd>

Presence: [1..1]

Definition: Type of discount or waiving expressed as a code.

Datatype: [WaivingInstruction1Code on page 3391](#)

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

76.1.8.6.5.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of discount or waiving expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.8.6.6 AppliedAmount <ApldAmt>

Presence: [0..1]

Definition: Fee (charge/commission) amount applied to the transaction.

Impacted by: [C2 ActiveCurrency](#) __, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.8.6.7 AppliedRate <ApldRate>

Presence: [0..1]

Definition: Final rate used to calculate the fee (charge/commission) amount.

Datatype: [PercentageRate](#) on page 3406

76.1.8.6.8 NonStandardSLAReference <NonStdSLARef>

Presence: [0..1]

Definition: Reference to a sales agreement that overrides normal processing or the Service Level Agreement (SLA), such as a fee (charge/commission).

Datatype: [Max35Text on page 3409](#)

76.1.8.6.9 RecipientIdentification <Rcptld>

Presence: [0..1]

Definition: Party entitled to the amount of money resulting from a fee (charge/commission).

RecipientIdentification <Rcptld> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.8.6.10 InformativeIndicator <InftvInd>

Presence: [1..1]

Definition: Indicates the information is provided for information purposes only. When the value is 'false' or '0' the amount provided is taken into consideration in the transaction overhead. When the value is 'true' or '1' the amount provided is not taken into consideration in the transaction overhead.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.8.7 Fee1

Definition: Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1785
{Or	Code <Cd>	[1..1]	CodeSet		1785
Or}	Proprietary <Prtry>	[1..1]	±		1786
	Basis <Bsis>	[0..1]			1786
{Or	Code <Cd>	[1..1]	CodeSet		1787
Or}	Proprietary <Prtry>	[1..1]	±		1787
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1787
	StandardRate <StdRate>	[0..1]	Rate		1788
	DiscountDetails <DscntDtls>	[0..1]		C14	1788
	Amount <Amt>	[0..1]	Amount	C2, C10	1789
	Rate <Rate>	[0..1]	Rate		1790
	Basis <Bsis>	[0..1]			1790
{Or	Code <Cd>	[1..1]	CodeSet		1790
Or}	Proprietary <Prtry>	[1..1]	±		1791
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C2, C10	1791
	RequestedRate <ReqdRate>	[0..1]	Rate		1792
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1792
	RecipientIdentification <RcptId>	[0..1]	±		1792

Constraints

• **FeeElementRule**

(Rule)

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

• **StandardFeeAmountCalculation**

(Rule)

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

• **StandardFeeRateCalculation**

(Rule)

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.8.7.1 Type <Tp>

Presence: [1..1]

Definition: Type of fee (charge/commission).

Type <Tp> contains one of the following **ChargeType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1785
Or}	Proprietary <Prtry>	[1..1]	±		1786

76.1.8.7.1.1 Code <Cd>

Presence: [1..1]

Definition: Fee (charge/commission) expressed as a code.

Datatype: [InvestmentFundFee1Code on page 3295](#)

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.

CodeName	Name	Definition
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SWIT	Switch	In investment funds, charge related to a switch transaction.
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

76.1.8.7.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Fee (charge/commission) expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchemeNm>	[0..1]	Text		2015

76.1.8.7.2 Basis <Bsis>

Presence: [0..1]

Definition: Method used to calculate the fee (charge/commission).

Basis <Bsis> contains one of the following **ChargeBasis2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1787
Or}	Proprietary <Prtry>	[1..1]	±		1787

76.1.8.7.2.1 Code <Cd>

Presence: [1..1]

Definition: Fee (charge/commission) basis expressed as a code.

Datatype: [TaxationBasis5Code](#) on page 3360

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

76.1.8.7.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Fee (charge/commission) basis expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.8.7.3 StandardAmount <StdAmt>

Presence: [0..1]

Definition: Standard fee (charge/commission) amount as specified in the fund prospectus or agreed for the account.

Impacted by: [C2 ActiveCurrency](#) ____, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.8.7.4 StandardRate <StdRate>

Presence: [0..1]

Definition: Standard fee (charge/commission) rate used to calculate the amount of the charge or fee, as specified in the fund prospectus or agreed for the account.

Datatype: PercentageRate on page 3406

76.1.8.7.5 DiscountDetails <DscntDtls>

Presence: [0..1]

Definition: Discount or waiver applied to the fee (charge/commission).

Impacted by: C14 DiscountElementRule

DiscountDetails <DscntDtls> contains the following **ChargeOrCommissionDiscount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1789
	Rate <Rate>	[0..1]	Rate		1790
	Basis <Bsis>	[0..1]			1790
{Or	Code <Cd>	[1..1]	CodeSet		1790
Or}	Proprietary <Prtry>	[1..1]	±		1791

Constraints

- **DiscountElementRule**

(Rule)

Amount Or Rate Or Basis must be present.

Following Must be True

```

    /Amount Must be present
    Or   /Rate Must be present
    Or   /Basis Must be present
    
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00410
- *Error Text:* Amount Or Rate Or Basis must be present.

76.1.8.7.5.1 Amount <Amt>

Presence: [0..1]

Definition: Difference between the standard fee (charge/commission) amount and the applied fee (charge/commission) amount.

EXAMPLE:

Standard charge is EUR 100

Discount is EUR 30

Applied charge is EUR 70.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.8.7.5.2 Rate <Rate>

Presence: [0..1]

Definition: Difference between the standard fee (charge/commission) rate and the applied rate of the fee (charge/commission).

EXAMPLE:

Standard rate is 5%

Discount rate is 3%

Applied rate is 2%.

Datatype: PercentageRate on page 3406

76.1.8.7.5.3 Basis <Bsis>

Presence: [0..1]

Definition: Form of the discount or rebate, for example, cash.

Basis <Bsis> contains one of the following **WaivingInstruction2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1790
Or}	Proprietary <Prtry>	[1..1]	±		1791

76.1.8.7.5.3.1 Code <Cd>

Presence: [1..1]

Definition: Type of discount or waiving expressed as a code.

Datatype: [WaivingInstruction1Code on page 3391](#)

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

76.1.8.7.5.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of discount or waiving expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.8.7.6 RequestedAmount <ReqdAmt>

Presence: [0..1]

Definition: Requested fee (charge/commission) amount as agreed for the account.

Impacted by: [C2 ActiveCurrency](#) ____, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount on page 3238](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.8.7.7 RequestedRate <ReqdRate>

Presence: [0..1]

Definition: Requested rate used to calculate the amount of the fee (charge/commission), as agreed for the account.

Datatype: [PercentageRate on page 3406](#)

76.1.8.7.8 NonStandardSLAReference <NonStdSLARef>

Presence: [0..1]

Definition: Reference to a sales agreement that overrides normal processing or the Service Level Agreement (SLA), such as a fee (charge/commission).

Datatype: [Max35Text on page 3409](#)

76.1.8.7.9 RecipientIdentification <Rcptld>

Presence: [0..1]

Definition: Party entitled to the amount of money resulting from a fee (charge/commission).

RecipientIdentification <Rcptld> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.8.8 Charge26

Definition: Choice of formats for the type of charge.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1792
{Or	Code <Cd>	[1..1]	CodeSet		1793
Or}	Proprietary <Prtry>	[1..1]	±		1793
	ChargeApplied <ChrgApld>	[1..1]			1794
{Or	Amount <Amt>	[1..1]	Amount	C2	1794
Or}	Rate <Rate>	[1..1]	Rate		1794

76.1.8.8.1 Type <Tp>

Presence: [1..1]

Definition: Type of charge.

Type <Tp> contains one of the following **ChargeType4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1793
Or}	Proprietary <Prtry>	[1..1]	±		1793

76.1.8.8.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of charge expressed as a code.

Datatype: [ChargeType12Code](#) on page 3255

CodeName	Name	Definition
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
DISC	Discount	Charge that has been reduced from the standard initial charge levied by a fund, eg, during a launch period or as negotiated by a funds supermarket / discount broker.
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, eg, Securities and Exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SPCN	SpecialConcessions	Charges, drawdown, or other reduction from or in addition to the deal price.
TRAN	TransferFee	In investment funds, a fee charged for the transfer of ownership of an investment fund.

76.1.8.8.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of charge expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.8.8.2 ChargeApplied <ChrgApId>

Presence: [1..1]

Definition: Charge amount or charge rate applied.

ChargeApplied <ChrgApId> contains one of the following **AmountOrRate3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2	1794
Or}	Rate <Rate>	[1..1]	Rate		1794

76.1.8.8.2.1 Amount <Amt>

Presence: [1..1]

Definition: Amount of money.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.8.8.2.2 Rate <Rate>

Presence: [1..1]

Definition: Rate used to calculate the amount.

Datatype: PercentageRate on page 3406

76.1.8.9 ChargePaymentMethod1Choice

Definition: Choice of formats for the specification of the charge payment method.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1795
Or}	Proprietary <Prtry>	[1..1]	±		1795

76.1.8.9.1 Code <Cd>

Presence: [1..1]

Definition: Charge payment method expressed as a code.

Datatype: [ChargePaymentMethod1Code](#) on page 3255

CodeName	Name	Definition
CASH	Cash	Payment is with cash.
UNIT	Unit	Units are redeemed to cover payment.

76.1.8.9.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Charge payment method expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.8.10 TotalCharges4

Definition: Total amount of charges.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalAmountOfCharges <TtlAmtOfChrgs>	[0..1]	Amount	C2	1795
	ChargeDetails <ChrgDtls>	[0..*]	±		1796

76.1.8.10.1 TotalAmountOfCharges <TtlAmtOfChrgs>

Presence: [0..1]

Definition: Total value of the charges for a specific order.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyAnd13DecimalAmount](#) on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- Error severity: Fatal
- Error Code: D00005
- Error Text: Invalid currency code

76.1.8.10.2 ChargeDetails <ChrgDtIs>

Presence: [0..*]

Definition: Information related to a specific charge.

ChargeDetails <ChrgDtIs> contains the following elements (see [Charge21](#) on page 1796 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ChargeType <ChrgTp>	[1..1]			1796
{Or	Type <Tp>	[1..1]	CodeSet		1797
Or}	Proprietary <Prtry>	[1..1]	±		1798
	ChargeAmountOrRate <ChrgAmtOrRate>	[1..1]			1798
{Or	Amount <Amt>	[1..1]	Amount	C2	1798
Or}	Rate <Rate>	[1..1]	Rate		1799
	RecipientIdentification <RcptId>	[0..1]	±		1799

76.1.8.11 Charge21

Definition: Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ChargeType <ChrgTp>	[1..1]			1796
{Or	Type <Tp>	[1..1]	CodeSet		1797
Or}	Proprietary <Prtry>	[1..1]	±		1798
	ChargeAmountOrRate <ChrgAmtOrRate>	[1..1]			1798
{Or	Amount <Amt>	[1..1]	Amount	C2	1798
Or}	Rate <Rate>	[1..1]	Rate		1799
	RecipientIdentification <RcptId>	[0..1]	±		1799

76.1.8.11.1 ChargeType <ChrgTp>

Presence: [1..1]

Definition: Type of charge.

ChargeType <ChrgTp> contains one of the following **ChargeType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		1797
Or}	Proprietary <Prtry>	[1..1]	±		1798

76.1.8.11.1.1 Type <Tp>

Presence: [1..1]

Definition: Type of service for which a charge is asked or paid.

Datatype: [ChargeType13Code on page 3255](#)

CodeName	Name	Definition
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
SWIT	Switch	In investment funds, charge related to a switch transaction.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
DISC	Discount	Charge that has been reduced from the standard initial charge levied by a fund, eg, during a launch period or as negotiated by a funds supermarket / discount broker.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, eg, Securities and Exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
CHAR	ServiceProvisionFee	Fee paid for the provision of financial services.
CDSC	ContingencyDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.

CodeName	Name	Definition
INIT	Initial	Charge paid at the time of the first subscription.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
UCIC	UCITSCommission	Charges paid by the investor to the Fund Company for subscription and redemption orders.
SFEN	SpeciallyAgreedFrontEndLoad	Specially agreed front-end load.

76.1.8.11.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of service for which a charge is asked or paid.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13 on page 2020](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchemeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.8.11.2 ChargeAmountOrRate <ChrgAmtOrRate>

Presence: [1..1]

Definition: Amount or rate of the charge.

ChargeAmountOrRate <ChrgAmtOrRate> contains one of the following **AmountRate1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2	1798
Or}	Rate <Rate>	[1..1]	Rate		1799

76.1.8.11.2.1 Amount <Amt>

Presence: [1..1]

Definition: Amount of money asked or paid for the charge.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**
(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.8.11.2.2 Rate <Rate>

Presence: [1..1]

Definition: Rate used to calculate the amount of the charge or fee.

Datatype: [PercentageRate](#) on page 3406

76.1.8.11.3 RecipientIdentification <Rcptld>

Presence: [0..1]

Definition: Party entitled to the amount of money resulting from a charge.

RecipientIdentification <Rcptld> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.9 Cheque

76.1.9.1 Cheque3

Definition: Set of characteristics related to a cheque instruction, such as cheque type or cheque number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		1799
	PayeeIdentification <Pyeeld>	[1..1]	±		1800
	DraweeIdentification <Drweeld>	[0..1]	±		1800
	DrawerIdentification <Drwrlid>	[0..1]	±		1800

76.1.9.1.1 Number <Nb>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a cheque as assigned by the financial institution.

Datatype: [Max35Text on page 3409](#)

76.1.9.1.2 Payeeldidentification <Pyeeld>

Presence: [1..1]

Definition: Party to which a cheque is made payable.

Payeeldidentification <Pyeeld> contains one of the following elements (see [PartyIdentification2Choice on page 2493](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.9.1.3 Draweeldidentification <Drweeld>

Presence: [0..1]

Definition: Financial institution on which a cheque is drawn, ie, the financial institution that services the account of the entity that issued the cheque.

Draweeldidentification <Drweeld> contains one of the following elements (see [FinancialInstitutionIdentification3Choice on page 1850](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1850
Or	BIC <BIC>	[1..1]	IdentifierSet	C4	1851
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1851
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1852

76.1.9.1.4 DrawerIdentification <Drwrld>

Presence: [0..1]

Definition: Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

DrawerIdentification <Drwrld> contains one of the following elements (see [PartyIdentification2Choice on page 2493](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.9.2 Cheque4

Definition: Set of characteristics related to a cheque instruction, such as cheque type or cheque number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <PyeeId>	[1..1]	±		1801

76.1.9.2.1 PayeeIdentification <PyeeId>

Presence: [1..1]

Definition: Party to which a cheque is made payable.

PayeeIdentification <PyeeId> contains the following elements (see [NameAndAddress5 on page 2832](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.10 Clearing System Member Identification

76.1.10.1 ClearingSystemMemberIdentification2Choice

Definition: Choice of identifiers for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1802
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1802
Or	IrishNSCIDentification <IENSC>	[1..1]	IdentifierSet		1803
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1803
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1803
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1803
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1803
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1803
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1803
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1804
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1804
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1804
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1804
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1804
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1804
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1804
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1805
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1805
Or	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1805
Or	IndianFinancialSystemCode <INIFSC>	[1..1]	IdentifierSet		1805
Or	HellenicBankIdentificationCode <GRHEBIC>	[1..1]	IdentifierSet		1805
Or	PolishNationalClearingCode <PLKNR>	[1..1]	IdentifierSet		1805
Or}	OtherClearingCodeIdentification <OthrClrCld>	[1..1]	Text		1806

76.1.10.1.1 CHIPSUniversalIdentification <USCHU>

Presence: [1..1]

Definition: (United States) Clearing House Interbank Payments System (CHIPS) Universal Identification (UID) - identifies entities that own accounts at CHIPS participating financial institutions, through which CHIPS payments are effected. The CHIPS UID is assigned by the New York Clearing House.

Datatype: CHIPSUniversalIdentifier on page 3396

76.1.10.1.2 NewZealandNCCIdentification <NZNCC>

Presence: [1..1]

Definition: New Zealand Bank/Branch Code - identifies New Zealand institutions on the New Zealand national clearing system. The code is assigned by the New Zealand Bankers' Association (NZBA).

Datatype: [NewZealandNCCIdentifier on page 3401](#)

76.1.10.1.3 IrishNSCIdentification <IENSC>

Presence: [1..1]

Definition: Irish National Sorting Code - identifies Irish financial institutions on the Irish national clearing system. The code is assigned by the Irish Payments Services Organisation (IPSO).

Datatype: [IrishNSCIdentifier on page 3399](#)

76.1.10.1.4 UKDomesticSortCode <GBSC>

Presence: [1..1]

Definition: United Kingdom (UK) Sort Code - identifies British financial institutions on the British national clearing systems. The sort code is assigned by the Association for Payments and Clearing Services (APACS).

Datatype: [UKDomesticSortCodeIdentifier on page 3404](#)

76.1.10.1.5 CHIPSParticipantIdentification <USCH>

Presence: [1..1]

Definition: (United States) Clearing House Interbank Payment System (CHIPS) Participant Identifier (ID) - identifies financial institutions participating on CHIPS. The CHIPS Participant ID is assigned by the New York Clearing House.

Datatype: [CHIPSParticipantIdentifier on page 3396](#)

76.1.10.1.6 SwissBCIdentification <CHBC>

Presence: [1..1]

Definition: Swiss Bank Code - identifies Swiss institutions on the Swiss national clearing system.

Datatype: [SwissBCIdentifier on page 3403](#)

76.1.10.1.7 FedwireRoutingNumberIdentification <USFW>

Presence: [1..1]

Definition: Fedwire Routing Number - identifies financial institutions, in the US, on the FedWire system. The routing number is assigned by the American Bankers Association (ABA).

Datatype: [FedwireRoutingNumberIdentifier on page 3397](#)

76.1.10.1.8 PortugueseNCCIdentification <PTNCC>

Presence: [1..1]

Definition: Portuguese National Clearing Code - identifies Portuguese financial institutions on the Portuguese national clearing system.

Datatype: [PortugueseNCCIdentifier on page 3401](#)

76.1.10.1.9 RussianCentralBankIdentificationCode <RUCB>

Presence: [1..1]

Definition: Russian Central Bank Identification Code - identifies Russian financial institutions on the Russian national clearing system.

Datatype: [RussianCentralBankIdentificationCodeIdentifier on page 3402](#)

76.1.10.1.10 ItalianDomesticIdentificationCode <ITNCC>

Presence: [1..1]

Definition: Italian Domestic Identification Code - identifies Italian financial institutions on the Italian national clearing system. The code is assigned by the Associazione Bancaria Italiana (ABI).

Datatype: [ItalianDomesticIdentifier on page 3400](#)

76.1.10.1.11 AustrianBankleitzahlIdentification <ATBLZ>

Presence: [1..1]

Definition: Austrian Bankleitzahl - identifies Austrian financial institutions on the Austrian national clearing system.

Datatype: [AustrianBankleitzahlIdentifier on page 3393](#)

76.1.10.1.12 CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>

Presence: [1..1]

Definition: Canadian Payments Association Routing Number - identifies Canadian financial institutions on the Canadian national clearing system.

Datatype: [CanadianPaymentsARNIdentifier on page 3395](#)

76.1.10.1.13 SwissSICIdentification <CHSIC>

Presence: [1..1]

Definition: Swiss Interbank Clearing (SIC) Code - identifies Swiss financial institutions domestically, on the Swiss national clearing system.

Datatype: [SwissSICIdentifier on page 3403](#)

76.1.10.1.14 GermanBankleitzahlIdentification <DEBLZ>

Presence: [1..1]

Definition: German Bankleitzahl - identifies German financial institutions on the German national clearing systems.

Datatype: [GermanBankleitzahlIdentifier on page 3397](#)

76.1.10.1.15 SpanishDomesticInterbankingIdentification <ESNCC>

Presence: [1..1]

Definition: Spanish Domestic Interbanking Code - identifies Spanish financial institutions on the Spanish national clearing system. The code is assigned by the Centro de Cooperacion Interbancaria (CCI).

Datatype: [SpanishDomesticInterbankingIdentifier on page 3403](#)

76.1.10.1.16 SouthAfricanNCCIIdentification <ZANCC>

Presence: [1..1]

Definition: South African National Clearing Code (NCC) - identifies South African financial institutions on the South African national clearing system. The code is assigned by the South African Bankers Services Company Ltd. (BankServ).

Datatype: [SouthAfricanNCCIdentifier on page 3403](#)

76.1.10.1.17 HongKongBankCode <HKNCC>

Presence: [1..1]

Definition: Hong Kong Bank Code - identifies Hong Kong financial institutions on the Hong Kong local clearing system.

Datatype: [HongKongBankIdentifier on page 3398](#)

76.1.10.1.18 AustralianExtensiveBranchNetworkIdentification <AUBSBx>

Presence: [1..1]

Definition: Extensive branch network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

Datatype: [ExtensiveBranchNetworkIdentifier on page 3397](#)

76.1.10.1.19 AustralianSmallNetworkIdentification <AUBSBs>

Presence: [1..1]

Definition: Small network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

Datatype: [SmallNetworkIdentifier on page 3402](#)

76.1.10.1.20 IndianFinancialSystemCode <INIFSC>

Presence: [1..1]

Definition: Indian Financial System Code - identifies Indian financial institutions on the Indian local clearing system.

Datatype: [IndianFinancialSystemCodeIdentifier on page 3399](#)

76.1.10.1.21 HellenicBankIdentificationCode <GRHEBIC>

Presence: [1..1]

Definition: Hellenic Bank Identification Code - identifies Hellenic financial institutions on the Hellenic national clearing system.

Datatype: [HellenicBankIdentificationCodeIdentifier on page 3398](#)

76.1.10.1.22 PolishNationalClearingCode <PLKNR>

Presence: [1..1]

Definition: Polish National Clearing Code - identifies Polish financial institutions on the Polish national clearing system.

Datatype: [PolishNationalClearingCodeIdentifier on page 3401](#)

76.1.10.1.23 OtherClearingCodeIdentification <OthrClrCldId>

Presence: [1..1]

Definition: Identification Code for a clearing system, that has not yet been identified in the list of clearing systems.

Datatype: [Max35Text on page 3409](#)

76.1.10.2 ClearingSystemMemberIdentification4Choice

Definition: Choice of identifiers for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1806
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1807
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1807
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1807
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1807
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1807
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1807
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1807
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1808
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1808
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1808
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1808
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1808
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1808
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1808
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1809
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1809
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1809
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1809

76.1.10.2.1 CHIPSUniversalIdentification <USCHU>

Presence: [1..1]

Definition: (United States) Clearing House Interbank Payments System (CHIPS) Universal Identification (UID) - identifies entities that own accounts at CHIPS participating financial institutions, through which CHIPS payments are effected. The CHIPS UID is assigned by the New York Clearing House.

Datatype: [CHIPSUniversalIdentifier on page 3396](#)

76.1.10.2.2 NewZealandNCCIdentification <NZNCC>

Presence: [1..1]

Definition: New Zealand Bank/Branch Code - identifies New Zealand institutions on the New Zealand national clearing system. The code is assigned by the New Zealand Bankers' Association (NZBA).

Datatype: [NewZealandNCCIdentifier on page 3401](#)

76.1.10.2.3 IrishNSCIdentification <IENSC>

Presence: [1..1]

Definition: Irish National Sorting Code - identifies Irish financial institutions on the Irish national clearing system. The code is assigned by the Irish Payments Services Organisation (IPSO).

Datatype: [IrishNSCIdentifier on page 3399](#)

76.1.10.2.4 UKDomesticSortCode <GBSC>

Presence: [1..1]

Definition: United Kingdom (UK) Sort Code - identifies British financial institutions on the British national clearing systems. The sort code is assigned by the Association for Payments and Clearing Services (APACS).

Datatype: [UKDomesticSortCodeIdentifier on page 3404](#)

76.1.10.2.5 CHIPSParticipantIdentification <USCH>

Presence: [1..1]

Definition: (United States) Clearing House Interbank Payment System (CHIPS) Participant Identifier (ID) - identifies financial institutions participating on CHIPS. The CHIPS Participant ID is assigned by the New York Clearing House.

Datatype: [CHIPSParticipantIdentifier on page 3396](#)

76.1.10.2.6 SwissBCIdentification <CHBC>

Presence: [1..1]

Definition: Swiss Bank Code - identifies Swiss institutions on the Swiss national clearing system.

Datatype: [SwissBCIdentifier on page 3403](#)

76.1.10.2.7 FedwireRoutingNumberIdentification <USFW>

Presence: [1..1]

Definition: Fedwire Routing Number - identifies financial institutions, in the US, on the FedWire system. The routing number is assigned by the American Bankers Association (ABA).

Datatype: [FedwireRoutingNumberIdentifier on page 3397](#)

76.1.10.2.8 PortugueseNCCIdentification <PTNCC>

Presence: [1..1]

Definition: Portuguese National Clearing Code - identifies Portuguese financial institutions on the Portuguese national clearing system.

Datatype: [PortugueseNCCIdentifier on page 3401](#)

76.1.10.2.9 RussianCentralBankIdentificationCode <RUCB>

Presence: [1..1]

Definition: Russian Central Bank Identification Code - identifies Russian financial institutions on the Russian national clearing system.

Datatype: RussianCentralBankIdentificationCodeIdentifier on page 3402

76.1.10.2.10 ItalianDomesticIdentificationCode <ITNCC>

Presence: [1..1]

Definition: Italian Domestic Identification Code - identifies Italian financial institutions on the Italian national clearing system. The code is assigned by the Associazione Bancaria Italiana (ABI).

Datatype: ItalianDomesticIdentifier on page 3400

76.1.10.2.11 AustrianBankleitzahlIdentification <ATBLZ>

Presence: [1..1]

Definition: Austrian Bankleitzahl - identifies Austrian financial institutions on the Austrian national clearing system.

Datatype: AustrianBankleitzahlIdentifier on page 3393

76.1.10.2.12 CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>

Presence: [1..1]

Definition: Canadian Payments Association Routing Number - identifies Canadian financial institutions on the Canadian national clearing system.

Datatype: CanadianPaymentsARNIdentifier on page 3395

76.1.10.2.13 SwissSICIdentification <CHSIC>

Presence: [1..1]

Definition: Swiss Interbank Clearing (SIC) Code - identifies Swiss financial institutions domestically, on the Swiss national clearing system.

Datatype: SwissSICIdentifier on page 3403

76.1.10.2.14 GermanBankleitzahlIdentification <DEBLZ>

Presence: [1..1]

Definition: German Bankleitzahl - identifies German financial institutions on the German national clearing systems.

Datatype: GermanBankleitzahlIdentifier on page 3397

76.1.10.2.15 SpanishDomesticInterbankingIdentification <ESNCC>

Presence: [1..1]

Definition: Spanish Domestic Interbanking Code - identifies Spanish financial institutions on the Spanish national clearing system. The code is assigned by the Centro de Cooperacion Interbancaria (CCI).

Datatype: SpanishDomesticInterbankingIdentifier on page 3403

76.1.10.2.16 SouthAfricanNCCIdentification <ZANCC>

Presence: [1..1]

Definition: South African National Clearing Code (NCC) - identifies South African financial institutions on the South African national clearing system. The code is assigned by the South African Bankers Services Company Ltd. (BankServ).

Datatype: SouthAfricanNCCIdentifier on page 3403

76.1.10.2.17 HongKongBankCode <HKNCC>

Presence: [1..1]

Definition: Hong Kong Bank Code - identifies Hong Kong financial institutions on the Hong Kong local clearing system.

Datatype: HongKongBankIdentifier on page 3398

76.1.10.2.18 AustralianExtensiveBranchNetworkIdentification <AUBSBx>

Presence: [1..1]

Definition: Extensive branch network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

Datatype: ExtensiveBranchNetworkIdentifier on page 3397

76.1.10.2.19 AustralianSmallNetworkIdentification <AUBSBs>

Presence: [1..1]

Definition: Small network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

Datatype: SmallNetworkIdentifier on page 3402

76.1.10.3 ClearingSystemMemberIdentificationChoice

Definition: Choice of identifiers for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1810
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1810
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1810
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1811
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1811
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1811
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1811
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1811
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1811
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1811
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1812
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1812
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1812
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1812
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1812
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1812
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1812
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1813
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1813

76.1.10.3.1 CHIPSUniversalIdentification <USCHU>

Presence: [1..1]

Definition: (United States) Clearing House Interbank Payments System (CHIPS) Universal Identification (UID) - identifies entities that own accounts at CHIPS participating financial institutions, through which CHIPS payments are effected. The CHIPS UID is assigned by the New York Clearing House.

Datatype: [CHIPSUniversalIdentifier on page 3396](#)

76.1.10.3.2 NewZealandNCCIdentification <NZNCC>

Presence: [1..1]

Definition: New Zealand Bank/Branch Code - identifies New Zealand institutions on the New Zealand national clearing system. The code is assigned by the New Zealand Bankers' Association (NZBA).

Datatype: [NewZealandNCCIdentifier on page 3401](#)

76.1.10.3.3 IrishNSCIdentification <IENSC>

Presence: [1..1]

Definition: Irish National Sorting Code - identifies Irish financial institutions on the Irish national clearing system. The code is assigned by the Irish Payments Services Organisation (IPSO).

Datatype: [IrishNSCIdentifier](#) on page 3399

76.1.10.3.4 UKDomesticSortCode <GBSC>

Presence: [1..1]

Definition: United Kingdom (UK) Sort Code - identifies British financial institutions on the British national clearing systems. The sort code is assigned by the Association for Payments and Clearing Services (APACS).

Datatype: [UKDomesticSortCodeIdentifier](#) on page 3404

76.1.10.3.5 CHIPSParticipantIdentification <USCH>

Presence: [1..1]

Definition: (United States) Clearing House Interbank Payment System (CHIPS) Participant Identifier (ID) - identifies financial institutions participating on CHIPS. The CHIPS Participant ID is assigned by the New York Clearing House.

Datatype: [CHIPSParticipantIdentifier](#) on page 3396

76.1.10.3.6 SwissBCIdentification <CHBC>

Presence: [1..1]

Definition: Swiss Bank Code - identifies Swiss institutions on the Swiss national clearing system.

Datatype: [SwissBCIdentifier](#) on page 3403

76.1.10.3.7 FedwireRoutingNumberIdentification <USFW>

Presence: [1..1]

Definition: Fedwire Routing Number - identifies financial institutions, in the US, on the FedWire system. The routing number is assigned by the American Bankers Association (ABA).

Datatype: [FedwireRoutingNumberIdentifier](#) on page 3397

76.1.10.3.8 PortugueseNCCIdentification <PTNCC>

Presence: [1..1]

Definition: Portuguese National Clearing Code - identifies Portuguese financial institutions on the Portuguese national clearing system.

Datatype: [PortugueseNCCIdentifier](#) on page 3401

76.1.10.3.9 RussianCentralBankIdentificationCode <RUCB>

Presence: [1..1]

Definition: Russian Central Bank Identification Code - identifies Russian financial institutions on the Russian national clearing system.

Datatype: [RussianCentralBankIdentificationCodeIdentifier](#) on page 3402

76.1.10.3.10 ItalianDomesticIdentificationCode <ITNCC>

Presence: [1..1]

Definition: Italian Domestic Identification Code - identifies Italian financial institutions on the Italian national clearing system. The code is assigned by the Associazione Bancaria Italiana (ABI).

Datatype: [ItalianDomesticIdentifier on page 3400](#)

76.1.10.3.11 AustrianBankleitzahlIdentification <ATBLZ>

Presence: [1..1]

Definition: Austrian Bankleitzahl - identifies Austrian financial institutions on the Austrian national clearing system.

Datatype: [AustrianBankleitzahlIdentifier on page 3393](#)

76.1.10.3.12 CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>

Presence: [1..1]

Definition: Canadian Payments Association Routing Number - identifies Canadian financial institutions on the Canadian national clearing system.

Datatype: [CanadianPaymentsARNIdentifier on page 3395](#)

76.1.10.3.13 SwissSICIdentification <CHSIC>

Presence: [1..1]

Definition: Swiss Interbank Clearing (SIC) Code - identifies Swiss financial institutions domestically, on the Swiss national clearing system.

Datatype: [SwissSICIdentifier on page 3403](#)

76.1.10.3.14 GermanBankleitzahlIdentification <DEBLZ>

Presence: [1..1]

Definition: German Bankleitzahl - identifies German financial institutions on the German national clearing systems.

Datatype: [GermanBankleitzahlIdentifier on page 3397](#)

76.1.10.3.15 SpanishDomesticInterbankingIdentification <ESNCC>

Presence: [1..1]

Definition: Spanish Domestic Interbanking Code - identifies Spanish financial institutions on the Spanish national clearing system. The code is assigned by the Centro de Cooperacion Interbancaria (CCI).

Datatype: [SpanishDomesticInterbankingIdentifier on page 3403](#)

76.1.10.3.16 SouthAfricanNCCIdentification <ZANCC>

Presence: [1..1]

Definition: South African National Clearing Code (NCC) - identifies South African financial institutions on the South African national clearing system. The code is assigned by the South African Bankers Services Company Ltd. (BankServ).

Datatype: [SouthAfricanNCCIdentifier on page 3403](#)

76.1.10.3.17 HongKongBankCode <HKNCC>

Presence: [1..1]

Definition: Hong Kong Bank Code - identifies Hong Kong financial institutions on the Hong Kong local clearing system.

Datatype: [HongKongBankIdentifier](#) on page 3398

76.1.10.3.18 AustralianExtensiveBranchNetworkIdentification <AUBSBx>

Presence: [1..1]

Definition: Extensive branch network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

Datatype: [ExtensiveBranchNetworkIdentifier](#) on page 3397

76.1.10.3.19 AustralianSmallNetworkIdentification <AUBSBs>

Presence: [1..1]

Definition: Small network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

Datatype: [SmallNetworkIdentifier](#) on page 3402

76.1.11 Commission

76.1.11.1 Commission6

Definition: Amount of money due to a party as compensation for a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]		C19	1814
	Structured <Strd>	[1..1]	CodeSet		1814
	AdditionalInformation <AddtlInf>	[0..1]	Text		1814
	Basis <Bsis>	[0..1]		C18	1814
	Structured <Strd>	[1..1]	CodeSet		1815
	AdditionalInformation <AddtlInf>	[0..1]	Text		1815
	Amount <Amt>	[0..1]	Amount	C2	1815
	Rate <Rate>	[0..1]	Rate		1816
	RecipientIdentification <RcptId>	[0..1]	±		1816
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1816
	WaivingDetails <WvgDtIs>	[0..1]			1816
	InstructionBasis <InstrBsis>	[1..1]		C20	1816
	Structured <Strd>	[1..1]	CodeSet		1817
	AdditionalInformation <AddtlInf>	[0..1]	Text		1817
	WaivedRate <WvdRate>	[1..1]	Rate		1817

76.1.11.1.1 Type <Tp>

Presence: [0..1]

Definition: Service for which the commission is asked or paid.

Impacted by: C19 OtherCodeRule

Type <Tp> contains the following **CommissionType1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		1814
	AdditionalInformation <AddtlInf>	[0..1]	Text		1814

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

76.1.11.1.1.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: CommissionType5Code on page 3259

CodeName	Name	Definition
FEND	FrontEnd	Type of service for which the commission is asked or paid.
BEND	BackEnd	Commission for redeeming an investment, when an investor redeems an investment fund within a certain period of time.
OTHR	Other	Commission is another type of transaction.

76.1.11.1.1.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the type of commission.

Datatype: Max350Text on page 3409

76.1.11.1.2 Basis <Bsis>

Presence: [0..1]

Definition: Basis upon which a commission is charged, eg, flat fee.

Impacted by: C18 OtherCodeRule

Basis <Bsis> contains the following **TaxationBasis1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		1815
	AdditionalInformation <AddtlInf>	[0..1]	Text		1815

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

76.1.11.1.2.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: TaxationBasis3Code on page 3360

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.
OTHR	Other	Another type of taxation basis.

76.1.11.1.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the type of taxation basis.

Datatype: Max350Text on page 3409

76.1.11.1.3 Amount <Amt>

Presence: [0..1]

Definition: Commission expressed as an amount of money.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.11.1.4 Rate <Rate>

Presence: [0..1]

Definition: Commission expressed as a percentage.

Datatype: PercentageRate on page 3406

76.1.11.1.5 RecipientIdentification <RcptId>

Presence: [0..1]

Definition: Party entitled to the amount of money resulting from a commission.

RecipientIdentification <RcptId> contains one of the following elements (see PartyIdentification2Choice on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.11.1.6 CommercialAgreementReference <ComrcIAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

76.1.11.1.7 WaivingDetails <WvgDtIs>

Presence: [0..1]

Definition: Voluntary non-enforcement of the right to all or part of a commission.

WaivingDetails <WvgDtIs> contains the following **CommissionWaiver2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InstructionBasis <InstrBsis>	[1..1]		C20	1816
	Structured <Strd>	[1..1]	CodeSet		1817
	AdditionalInformation <AddtlInf>	[0..1]	Text		1817
	WaivedRate <WvdRate>	[1..1]	Rate		1817

76.1.11.1.7.1 InstructionBasis <InstrBsis>

Presence: [1..1]

Definition: Form of the rebate, eg, cash.

Impacted by: [C20 OtherCodeRule](#)

InstructionBasis <InstrBsis> contains the following **WaivingType1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		1817
	AdditionalInformation <AddtlInf>	[0..1]	Text		1817

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

76.1.11.1.7.1.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: [WaivingInstruction2Code](#) on page 3391

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.
OTHR	Other	Another type of commission waiving.

76.1.11.1.7.1.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the type of waiving.

Datatype: [Max350Text](#) on page 3409

76.1.11.1.7.2 WaivedRate <WvdRate>

Presence: [1..1]

Definition: Proportion of the commission that is waived, ie, if the commission is 5% and half is waived, 2.5% should be stated in this field.

Datatype: [PercentageRate](#) on page 3406

76.1.11.2 Commission21

Definition: Amount of money due to a party as compensation for a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommissionType <ComssnTp>	[1..1]			1818
{Or	Code <Cd>	[1..1]	CodeSet		1818
Or}	Proprietary <Prtry>	[1..1]	±		1818
	CommissionApplied <ComssnApld>	[1..1]			1819
{Or	Amount <Amt>	[1..1]	Amount	C2	1819
Or}	Rate <Rate>	[1..1]	Rate		1819

76.1.11.2.1 CommissionType <ComssnTp>

Presence: [1..1]

Definition: Type of commission.

CommissionType <ComssnTp> contains one of the following **CommissionType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1818
Or}	Proprietary <Prtry>	[1..1]	±		1818

76.1.11.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Commission type expressed as a code.

Datatype: [CommissionType6Code on page 3259](#)

CodeName	Name	Definition
FEND	FrontEndLoad	Commission for subscribing to an investment, paid at the time of the subscription.
BEND	BackEndLoad	Commission for redeeming an investment, when an investor redeems an investment fund within a certain period of time.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.

76.1.11.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Commission type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.11.2.2 CommissionApplied <ComssnApId>

Presence: [1..1]

Definition: Commission amount or commission rate applied.

CommissionApplied <ComssnApId> contains one of the following **AmountOrRate3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2	1819
Or}	Rate <Rate>	[1..1]	Rate		1819

76.1.11.2.2.1 Amount <Amt>

Presence: [1..1]

Definition: Amount of money.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.11.2.2.2 Rate <Rate>

Presence: [1..1]

Definition: Rate used to calculate the amount.

Datatype: PercentageRate on page 3406

76.1.12 Credit Transfer

76.1.12.1 CreditTransfer3

Definition: Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		1820
	CreditorDetails <CdtrDtls>	[1..1]			1820
	Creditor <Cdtr>	[0..1]	±		1820
	AccountIdentification <AcctId>	[1..1]	±		1821
	FinalAgent <FnIAgt>	[1..1]	±		1821
	DebtorDetails <DbtrDtls>	[0..1]			1821
	Debtor <Dbtr>	[0..1]	±		1822
	AccountIdentification <AcctId>	[1..1]	±		1822
	FirstAgent <FrstAgt>	[1..1]	±		1822

76.1.12.1.1 Reference <Ref>

Presence: [0..1]

Definition: Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

Datatype: Max35Text on page 3409

76.1.12.1.2 CreditorDetails <CdtrDtls>

Presence: [1..1]

Definition: Party that receives an amount of money from the debtor. The creditor is also the credit account owner.

CreditorDetails <CdtrDtls> contains the following **Creditor2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Creditor <Cdtr>	[0..1]	±		1820
	AccountIdentification <AcctId>	[1..1]	±		1821
	FinalAgent <FnIAgt>	[1..1]	±		1821

76.1.12.1.2.1 Creditor <Cdtr>

Presence: [0..1]

Definition: Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

Creditor <Cdtr> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI/>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.12.1.2.2 AccountIdentification <AcctId>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

AccountIdentification <AcctId> contains the following elements (see [AccountIdentificationAndName3](#) on page 1605 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1606
	Name <Nm>	[0..1]	Text		1606

76.1.12.1.2.3 FinalAgent <FnlAgt>

Presence: [1..1]

Definition: Party that is the ultimate beneficiary of the credit transfer. The final party is mentioned when different from the creditor, whose account will be credited by the final agent.

FinalAgent <FnlAgt> contains one of the following elements (see [FinancialInstitutionIdentification3Choice](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1850
Or	BIC <BIC>	[1..1]	IdentifierSet	C4	1851
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1851
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1852

76.1.12.1.3 DebtorDetails <DbtrDtls>

Presence: [0..1]

Definition: Party that owes an amount of money to the creditor. The debtor is also the debit account owner.

DebtorDetails <DbtrDtIs> contains the following **Debtor2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Debtor <Dbtr>	[0..1]	±		1822
	AccountIdentification <AcctId>	[1..1]	±		1822
	FirstAgent <FrstAgt>	[1..1]	±		1822

76.1.12.1.3.1 Debtor <Dbtr>

Presence: [0..1]

Definition: Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

Debtor <Dbtr> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.12.1.3.2 AccountIdentification <AcctId>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

AccountIdentification <AcctId> contains the following elements (see [AccountIdentificationAndName3](#) on page 1605 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1606
	Name <Nm>	[0..1]	Text		1606

76.1.12.1.3.3 FirstAgent <FrstAgt>

Presence: [1..1]

Definition: Financial institution that receives the payment transaction from the account owner, or other authorised party, and processes the instruction.

FirstAgent <FrstAgnt> contains one of the following elements (see [FinancialInstitutionIdentification3Choice on page 1850](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1850
Or	BIC <BIC>	[1..1]	IdentifierSet	C4	1851
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1851
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1852

76.1.13 Date Period

76.1.13.1 DatePeriodDetails

Definition: Range of time defined by a start date and an end date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1823
	ToDate <ToDt>	[1..1]	Date		1823

76.1.13.1.1 FromDate <FrDt>

Presence: [1..1]

Definition: Start date of the range.

Datatype: [ISODate on page 3391](#)

76.1.13.1.2 ToDate <ToDt>

Presence: [1..1]

Definition: End date of the range.

Datatype: [ISODate on page 3391](#)

76.1.13.2 Tax36

Definition: Information about tax.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOrPeriod <DtOrPrd>	[1..1]			1823
{Or	Date <Dt>	[1..1]	Date		1824
Or}	Period <Prd>	[1..1]	Text		1824
	AdditionalInformation <AddtlInf>	[0..*]	±		1824

76.1.13.2.1 DateOrPeriod <DtOrPrd>

Presence: [1..1]

Definition: Date or quarter of the tax year on which tax for the financial instrument is based or calculated.

DateOrPeriod <DtOrPrd> contains one of the following **DateQuarter1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1824
Or}	Period <Prd>	[1..1]	Text		1824

76.1.13.2.1.1 Date <Dt>

Presence: [1..1]

Definition: Date as year, month and day.

Datatype: [ISODate on page 3391](#)

76.1.13.2.1.2 Period <Prd>

Presence: [1..1]

Definition: Proprietary description of the timeframe.

Datatype: [Max35Text on page 3409](#)

76.1.13.2.2 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about tax.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.13.3 DatePeriod1Choice

Definition: Period as a date, a month or a date time span for which the statement is provided.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1824
Or	DateMonth <DtMnth>	[1..1]	YearMonth		1825
Or}	FromDateToDate <FrDtToDt>	[1..1]	±		1825

76.1.13.3.1 Date <Dt>

Presence: [1..1]

Definition: Time span defined by a specific date.

Datatype: [ISODate on page 3391](#)

76.1.13.3.2 DateMonth <DtMnth>

Presence: [1..1]

Definition: Time span defined by a month and a year.

Datatype: [ISOYearMonth on page 3411](#)

76.1.13.3.3 FromDateToDate <FrDtToDt>

Presence: [1..1]

Definition: Time span defined by a start date and an end date.

FromDateToDate <FrDtToDt> contains the following elements (see [Period2 on page 1827](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1827
	ToDate <ToDt>	[1..1]	Date		1827

76.1.14 Date Time

76.1.14.1 DateAndDateTime1Choice

Definition: Choice between a date or a date and time format.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1825
Or}	DateTime <DtTm>	[1..1]	DateTime		1825

76.1.14.1.1 Date <Dt>

Presence: [1..1]

Definition: Numeric representation of the day of the month and year.

Datatype: [ISODate on page 3391](#)

76.1.14.1.2 DateTime <DtTm>

Presence: [1..1]

Definition: Numeric representation of time of the day and the day of the month and year.

Datatype: [ISODateTime on page 3391](#)

76.1.14.2 DateAndDateTime2Choice

Definition: Choice between a date or a date and time format.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1826
Or}	DateTime <DtTm>	[1..1]	DateTime		1826

76.1.14.2.1 Date <Dt>

Presence: [1..1]

Definition: Specified date.

Datatype: [ISODate on page 3391](#)

76.1.14.2.2 DateTime <DtTm>

Presence: [1..1]

Definition: Specified date and time.

Datatype: [ISODateTime on page 3391](#)

76.1.14.3 DateFormat42Choice

Definition: Choice of formats for a date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	YearMonth <YrMnth>	[1..1]	YearMonth		1826
Or}	YearMonthDay <YrMnthDay>	[1..1]	Date		1826

76.1.14.3.1 YearMonth <YrMnth>

Presence: [1..1]

Definition: Year and month.

Datatype: [ISOYearMonth on page 3411](#)

76.1.14.3.2 YearMonthDay <YrMnthDay>

Presence: [1..1]

Definition: Year, month and day.

Datatype: [ISODate on page 3391](#)

76.1.14.4 FiscalYear1Choice

Definition: Choice of start date and end date for the fiscal year.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StartDate <StartDt>	[1..1]	Date		1826
Or}	EndDate <EndDt>	[1..1]	Date		1827

76.1.14.4.1 StartDate <StartDt>

Presence: [1..1]

Definition: Start date of the fiscal year.

Datatype: [ISODate on page 3391](#)

76.1.14.4.2 EndDate <EndDt>

Presence: [1..1]

Definition: End date of the fiscal year.

Datatype: [ISODate on page 3391](#)

76.1.14.5 Period2

Definition: Time span defined by a start date and time, and an end date and time.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1827
	ToDate <ToDt>	[1..1]	Date		1827

76.1.14.5.1 FromDate <FrDt>

Presence: [1..1]

Definition: Date and time at which the range starts.

Datatype: [ISODate on page 3391](#)

76.1.14.5.2 ToDate <ToDt>

Presence: [1..1]

Definition: Date and time at which the range ends.

Datatype: [ISODate on page 3391](#)

76.1.14.6 DateTimePeriodDetails

Definition: Time span defined by a start date and time, and an end date and time.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		1827
	ToDateTime <ToDtTm>	[1..1]	DateTime		1827

76.1.14.6.1 FromDateTime <FrDtTm>

Presence: [1..1]

Definition: Date and time at which the range starts.

Datatype: [ISODateTime on page 3391](#)

76.1.14.6.2 ToDateTime <ToDtTm>

Presence: [1..1]

Definition: Date and time at which the range ends.

Datatype: [ISODateTime on page 3391](#)

76.1.14.7 DateAndDateTimeChoice

Definition: Choice between a date or a date and time format.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.14.7.1 Date <Dt>

Presence: [1..1]

Definition: Specified date.

Datatype: [ISODate on page 3391](#)

76.1.14.7.2 DateTime <DtTm>

Presence: [1..1]

Definition: Specified date and time.

Datatype: [ISODateTime on page 3391](#)

76.1.15 Date Time Period

76.1.15.1 DateOrDateTimePeriodChoice

Definition: Choice between a date or a date and time format for a period.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		1828
Or}	DateTime <DtTm>	[1..1]	±		1828

76.1.15.1.1 Date <Dt>

Presence: [1..1]

Definition: Period expressed with dates.

Date <Dt> contains the following elements (see [DatePeriodDetails on page 1823](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1823
	ToDate <ToDt>	[1..1]	Date		1823

76.1.15.1.2 DateTime <DtTm>

Presence: [1..1]

Definition: Period expressed a dates and times.

DateTime <DtTm> contains the following elements (see [DateTimePeriodDetails on page 1827](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		1827
	ToDateTime <ToDtTm>	[1..1]	DateTime		1827

76.1.15.2 TimeFrame7

Definition: Time frame elements that define a period as number of days before or after a activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1830
	TradePlus <TPlus>	[0..1]	Quantity		1830
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1830
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1830

Constraints

- **NonWorkingDayAdjustmentRule**

(Rule)

If NonWorkingDayAdjustment is present then TradePlus must also be present.

```
On Condition
    /NonWorkingDayAdjustment is present
Following Must be True
    /TradePlus Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradeMinus element must be present

- **TradePlusRule**

(Rule)

If TradePlus is present then NonWorkingDayAdjustment must also be present.

```
On Condition
    /TradePlus is present
Following Must be True
    /NonWorkingDayAdjustment Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00419
- *Error Text:* NonWorkingDayAdjustment element must be present

76.1.15.2.1 OtherTimeFrameDescription <OthrTmFrameDesc>

Presence: [0..1]

Definition: Description of the timeframe.

Datatype: [Max350Text on page 3409](#)

76.1.15.2.2 TradePlus <TPlus>

Presence: [0..1]

Definition: Number of days after the trade date (T) used for the standard timeframe for the issue of a deal confirmation.

Datatype: [Number on page 3405](#)

76.1.15.2.3 NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>

Presence: [0..1]

Definition: Convention used for adjusting a date when it is not a business day.

Datatype: [BusinessDayConvention1Code on page 3250](#)

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

76.1.15.2.4 ReferToOrderDesk <RefrToOrdrDsk>

Presence: [0..1]

Definition: For the time of the issuance of the deal confirmation, the order desk must be contacted.

Datatype: [ReferToFundOrderDesk1Code on page 3334](#)

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

76.1.15.3 TimeHorizon2Choice

Definition: Choice of formats for a time horizon.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NumberOfYears <NbOfYrs>	[1..1]	Quantity		1830
Or}	TimeFrame <TmFrame>	[1..1]			1831
{Or	Code <Cd>	[1..1]	CodeSet		1831
Or}	Proprietary <Prtry>	[1..1]	±		1831

76.1.15.3.1 NumberOfYears <NbOfYrs>

Presence: [1..1]

Definition: Minimum recommended holding (RHP) period.

Datatype: [DecimalNumber](#) on page 3405

76.1.15.3.2 TimeFrame <TmFrame>

Presence: [1..1]

Definition: Time frame as a qualitative value.

TimeFrame <TmFrame> contains one of the following **TimeFrame9Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1831
Or}	Proprietary <Prtry>	[1..1]	±		1831

76.1.15.3.2.1 Code <Cd>

Presence: [1..1]

Definition: Time frame expressed as a code.

Datatype: [TimeFrame2Code](#) on page 3377

CodeName	Name	Definition
HOLD	Hold	Hold to maturity.
LONG	LongTerm	Greater than five years.
MEDM	MediumTerm	Greater than or equal to three years.
SHOR	ShortTerm	Greater than or equal to one year.
VSHT	VeryShortTerm	Less than one year.

76.1.15.3.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Time frame expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.15.4 TimeFrame5

Definition: Time frame elements that define a period as number of days before or after a activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1832
	TradePlus <TPlus>	[0..1]	Quantity		1832
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1833
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1833

Constraints

- **NonWorkingDayAdjustmentRule**

(Rule)

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

On Condition

 /NonWorkingDayAdjustment is present

Following Must be True

 /TradePlus Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradeMinus element must be present

- **TradePlusRule**

(Rule)

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition

 /TradePlus is present

Following Must be True

 /NonWorkingDayAdjustment Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00419
- *Error Text:* NonWorkingDayAdjustment element must be present

76.1.15.4.1 OtherTimeFrameDescription <OthrTmFrameDesc>

Presence: [0..1]

Definition: Description of the timeframe.

Datatype: Max350Text on page 3409

76.1.15.4.2 TradePlus <TPlus>

Presence: [0..1]

Definition: Number of days after the trade date (T) used for the standard timeframe for the issue of a deal confirmation.

Datatype: [Number on page 3405](#)

76.1.15.4.3 NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>

Presence: [0..1]

Definition: Convention used for adjusting a date when it is not a business day.

Datatype: [BusinessDayConvention1Code on page 3250](#)

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

76.1.15.4.4 ReferToOrderDesk <RefrToOrdrDsk>

Presence: [0..1]

Definition: For the time of the issuance of the deal confirmation, the order desk must be contacted.

Datatype: [ReferToFundOrderDesk1Code on page 3334](#)

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

76.1.15.5 TimeFrame4

Definition: Time frame elements that define a period as number of days before or after a activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1834
	TradeMinus <TMns>	[0..1]	Quantity		1834
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1834
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1834

Constraints

- **NonWorkingDayAdjustmentRule**

(Rule)

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

On Condition

 /NonWorkingDayAdjustment is present

Following Must be True

 /TradeMinus Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00155

– *Error Text:* TradeMinus element must be present

• **TradeMinusRule**

(Rule)

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradeMinus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00154

– *Error Text:* NonWorkingDayAdjustment element must be present

76.1.15.5.1 OtherTimeFrameDescription <OthrTmFrameDesc>

Presence: [0..1]

Definition: Description of the timeframe.

Datatype: [Max350Text on page 3409](#)

76.1.15.5.2 TradeMinus <TMns>

Presence: [0..1]

Definition: Number of days before the trade date (T) used for the standard timeframe for the dealing cut-off.

Datatype: [Number on page 3405](#)

76.1.15.5.3 NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>

Presence: [0..1]

Definition: Convention used for adjusting a date when it is not a business day.

Datatype: [BusinessDayConvention1Code on page 3250](#)

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

76.1.15.5.4 ReferToOrderDesk <RefrToOrdrDsk>

Presence: [0..1]

Definition: For the dealing cut-off time, the order desk must be contacted.

Datatype: [ReferToFundOrderDesk1Code on page 3334](#)

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

76.1.15.6 TimeFrame6

Definition: Time frame elements that define a period as number of days before or after a activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1835
	TradePlus <TPlus>	[0..1]	Quantity		1835
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1836
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1836

Constraints

- **NonWorkingDayAdjustmentRule**

(Rule)

If NonWorkingDayAdjustment is present then TradePlus must also be present.

On Condition

 /NonWorkingDayAdjustment is present

Following Must be True

 /TradePlus Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradePlus element must be present

- **TradePlusRule**

(Rule)

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition

 /TradePlus is present

Following Must be True

 /NonWorkingDayAdjustment Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00419
- *Error Text:* NonWorkingDayAdjustment element must be present

76.1.15.6.1 OtherTimeFrameDescription <OthrTmFrameDesc>

Presence: [0..1]

Definition: Description of the timeframe.

Datatype: Max350Text on page 3409

76.1.15.6.2 TradePlus <TPlus>

Presence: [0..1]

Definition: Number of days after the trade date (T) used for the standard timeframe for the issue of a deal confirmation.

Datatype: [Number on page 3405](#)

76.1.15.6.3 NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>

Presence: [0..1]

Definition: Convention used for adjusting a date when it is not a business day.

Datatype: [BusinessDayConvention1Code on page 3250](#)

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

76.1.15.6.4 ReferToOrderDesk <RefrToOrdrDsk>

Presence: [0..1]

Definition: For the time of the issuance of the deal confirmation, the order desk must be contacted.

Datatype: [ReferToFundOrderDesk1Code on page 3334](#)

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

76.1.16 De Minimus

76.1.16.1 DeMinimus1Choice

Definition: De minimus applicability conditions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DeMinimusApplicable <DeMnmsAplbl>	[1..1]	±		1836
Or}	DeMinimusNotApplicable <DeMnmsNotAplbl>	[1..1]	±		1837

76.1.16.1.1 DeMinimusApplicable <DeMnmsAplbl>

Presence: [1..1]

Definition: Conditions applicable when the investor is covered by the "de minimis" exemption.

DeMinimusApplicable <DeMnmsAplbl> contains the following elements (see [DeMinimusApplicable1 on page 2396](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NewIssuePermission <NewIssePrmssn>	[1..1]	Indicator		2396
	Percentage <Pctg>	[0..1]	Rate		2396

76.1.16.1.2 DeMinimusNotApplicable <DeMnmsNotAplbl>

Presence: [1..1]

Definition: Conditions applicable when the investor is not covered by the "de minimis" exemption.

DeMinimusNotApplicable <DeMnmsNotAplbl> contains the following elements (see [DeMinimusNotApplicable1](#) on page 2396 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RestrictedPersonReason <RstrctdPrsnRsn>	[1..1]	Text		2396

76.1.17 Direct Debit

76.1.17.1 DirectDebitMandate6

Definition: Instruction, initiated by the creditor, to debit a debtor's account in favour of the creditor. A direct debit can be pre-authorised or not. In most countries, authorisation is in the form of a mandate between the debtor and creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1837
	Debtor <Dbtr>	[0..1]	±		1838
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1838
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1838
	Creditor <Cdtr>	[0..1]	±		1838
	DebtorAgent <DbtrAgt>	[1..1]	±		1838
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1839
	CreditorAgent <CdtrAgt>	[0..1]	±		1839
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1839
	RegistrationIdentification <RegnId>	[0..1]	Text		1839
	MandatIdentification <MndtId>	[0..1]	Text		1840

76.1.17.1.1 DebtorAccount <DbtrAcct>

Presence: [1..1]

Definition: Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

DebtorAccount <DbtrAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.17.1.2 Debtor <Dbtr>

Presence: [0..1]

Definition: Party that owes the cash to the creditor/final party. The debtor is also the debit account owner.

Debtor <Dbtr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.17.1.3 DebtorTaxIdentificationNumber <DbtrTaxIdNb>

Presence: [0..1]

Definition: Number assigned by a tax authority to an entity.

Datatype: [Max35Text](#) on page 3409

76.1.17.1.4 DebtorNationalRegistrationNumber <DbtrNtlRegnNb>

Presence: [0..1]

Definition: Number assigned by a national registration authority to an entity.

Datatype: [Max35Text](#) on page 3409

76.1.17.1.5 Creditor <Cdtr>

Presence: [0..1]

Definition: Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

Creditor <Cdtr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.17.1.6 DebtorAgent <DbtrAgt>

Presence: [1..1]

Definition: Financial institution that receives the direct debit instruction from the creditor or other authorised party.

DebtorAgent <DbtrAgt> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.17.1.7 DebtorAgentBranch <DbtrAgtBrnch>

Presence: [0..1]

Definition: Information identifying a specific branch of a financial institution.

Usage: this component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

DebtorAgentBranch <DbtrAgtBrnch> contains the following elements (see [BranchData](#) on page 1853 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1854
	Name <Nm>	[0..1]	Text		1854
	PostalAddress <PstlAdr>	[0..1]	±		1854

76.1.17.1.8 CreditorAgent <CdtrAgt>

Presence: [0..1]

Definition: Financial institution that receives the payment transaction on behalf of the creditor, or other nominated party, and credits the account.

CreditorAgent <CdtrAgt> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.17.1.9 CreditorAgentBranch <CdtrAgtBrnch>

Presence: [0..1]

Definition: Information identifying a specific branch of a financial institution.

Usage: this component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

CreditorAgentBranch <CdtrAgtBrnch> contains the following elements (see [BranchData](#) on page 1853 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1854
	Name <Nm>	[0..1]	Text		1854
	PostalAddress <PstlAdr>	[0..1]	±		1854

76.1.17.1.10 RegistrationIdentification <RegnId>

Presence: [0..1]

Definition: Reference assigned to a creditor by its financial institution, or relevant authority, authorising the creditor to take part in a direct debit scheme.

Datatype: [Max35Text on page 3409](#)

76.1.17.1.11 Mandateldentification <Mndtld>

Presence: [0..1]

Definition: Reference of the direct debit mandate that has been agreed upon by the debtor and creditor.

Datatype: [Max35Text on page 3409](#)

76.1.17.2 DirectDebitMandate7

Definition: Direct debit mandate parties and accounts.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1840
	Debtor <Dbtr>	[0..1]	±		1840
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1841
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1841
	Creditor <Cdtr>	[0..1]	±		1841
	DebtorAgent <DbtrAgt>	[1..1]	±		1841
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1842
	CreditorAgent <CdtrAgt>	[0..1]	±		1842
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1842
	RegistrationIdentification <RegnId>	[0..1]	Text		1843
	Mandateldentification <Mndtld>	[0..1]	Text		1843

76.1.17.2.1 DebtorAccount <DbtrAcct>

Presence: [1..1]

Definition: Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

DebtorAccount <DbtrAcct> contains the following elements (see [AccountIdentificationAndName5 on page 1601](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.17.2.2 Debtor <Dbtr>

Presence: [0..1]

Definition: Party that owes the cash to the creditor/final party. The debtor is also the debit account owner.

Debtor <Dbtr> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.17.2.3 DebtorTaxIdentificationNumber <DbtrTaxIdNb>

Presence: [0..1]

Definition: Number assigned by a tax authority to an entity.

Datatype: [Max35Text](#) on page 3409

76.1.17.2.4 DebtorNationalRegistrationNumber <DbtrNtlRegnNb>

Presence: [0..1]

Definition: Number assigned by a national registration authority to an entity.

Datatype: [Max35Text](#) on page 3409

76.1.17.2.5 Creditor <Cdtr>

Presence: [0..1]

Definition: Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

Creditor <Cdtr> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.17.2.6 DebtorAgent <DbtrAgt>

Presence: [1..1]

Definition: Financial institution that receives the direct debit instruction from the creditor or other authorised party.

DebtorAgent <DbtrAgt> contains one of the following elements (see [FinancialInstitutionIdentification11Choice](#) on page 1845 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1845
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1845
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1846
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1847
	Identification <Id>	[1..1]	Text		1847

76.1.17.2.7 DebtorAgentBranch <DbtrAgtBrnch>

Presence: [0..1]

Definition: Information identifying a specific branch of a financial institution.

Usage: this component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

DebtorAgentBranch <DbtrAgtBrnch> contains the following elements (see [BranchData4](#) on page 1844 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1844
	Name <Nm>	[0..1]	Text		1844
	PostalAddress <PstlAdr>	[0..1]	±		1844

76.1.17.2.8 CreditorAgent <CdtrAgt>

Presence: [0..1]

Definition: Financial institution that receives the payment transaction on behalf of the creditor, or other nominated party, and credits the account.

CreditorAgent <CdtrAgt> contains one of the following elements (see [FinancialInstitutionIdentification11Choice](#) on page 1845 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1845
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1845
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1846
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1847
	Identification <Id>	[1..1]	Text		1847

76.1.17.2.9 CreditorAgentBranch <CdtrAgtBrnch>

Presence: [0..1]

Definition: Information identifying a specific branch of a financial institution.

Usage: this component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

CreditorAgentBranch <CdtrAgtBrnch> contains the following elements (see [BranchData4](#) on page 1844 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1844
	Name <Nm>	[0..1]	Text		1844
	PostalAddress <PstlAdr>	[0..1]	±		1844

76.1.17.2.10 RegistrationIdentification <RegnId>

Presence: [0..1]

Definition: Reference assigned to a creditor by its financial institution, or relevant authority, authorising the creditor to take part in a direct debit scheme.

Datatype: [Max35Text](#) on page 3409

76.1.17.2.11 MandateIdentification <MndtId>

Presence: [0..1]

Definition: Reference of the direct debit mandate that has been agreed upon by the debtor and creditor.

Datatype: [Max35Text](#) on page 3409

76.1.18 Financial Institution Identification

76.1.18.1 BICIdentification1

Definition: Unique and unambiguous identifier of a financial institution, as assigned under an internationally recognised or proprietary identification scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BIC <BIC>	[1..1]	IdentifierSet	C4	1843

76.1.18.1.1 BIC <BIC>

Presence: [1..1]

Definition: Code allocated to a financial institution by the ISO 9362 Registration Authority as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: [C4 BIC](#)

Datatype: [BICIdentifier](#) on page 3394

Constraints

- **BIC**
(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid BIC Code

76.1.18.2 BranchData4

Definition: Information that locates and identifies a specific branch of a financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1844
	Name <Nm>	[0..1]	Text		1844
	PostalAddress <PstlAdr>	[0..1]	±		1844

76.1.18.2.1 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identification of a branch of a financial institution.

Datatype: Max35Text on page 3409

76.1.18.2.2 Name <Nm>

Presence: [0..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: Max35Text on page 3409

76.1.18.2.3 PostalAddress <PstlAdr>

Presence: [0..1]

Definition: Information that locates and identifies a specific address, as defined by postal services.

PostalAddress <PstAdr> contains the following elements (see [PostalAddress1](#) on page 2830 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2830
	AddressLine <AdrLine>	[0..5]	Text		2830
	StreetName <StrtNm>	[0..1]	Text		2831
	BuildingNumber <BldgNb>	[0..1]	Text		2831
	PostCode <PstCd>	[0..1]	Text		2831
	TownName <TwnNm>	[0..1]	Text		2831
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2831
	Country <Ctry>	[1..1]	CodeSet	C11	2831

76.1.18.3 FinancialInstitutionIdentification11Choice

Definition: Choice between formats for the identification of the financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1845
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1845
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1846
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1847
	Identification <Id>	[1..1]	Text		1847

76.1.18.3.1 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Identifies the name and (long) postal address of a financial institution.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.18.3.2 BICFI <BICFI>

Presence: [1..1]

Definition: Identification of the financial institution expressed as a BIC.

Impacted by: C5 BICFI

Datatype: BICFIDec2014Identifier on page 3393

Constraints

• **BICFI**

(Rule)

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

76.1.18.3.3 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [1..1]

Definition: Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

ClearingSystemMemberIdentification <ClrSysMmbld> contains one of the following elements (see [ClearingSystemMemberIdentification4Choice on page 1806](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1806
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1807
Or	IrishNSCIDentification <IENSC>	[1..1]	IdentifierSet		1807
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1807
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1807
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1807
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1807
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1807
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1808
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1808
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1808
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1808
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1808
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1808
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1808
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1809
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1809
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1809
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1809

76.1.18.3.4 ProprietaryIdentification <Prtryld>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <Prtryld> contains the following **SimpleIdentificationInformation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <ld>	[1..1]	Text		1847

76.1.18.3.4.1 Identification <ld>

Presence: [1..1]

Definition: Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

Datatype: [Max35Text on page 3409](#)

76.1.18.4 FinancialInstitutionIdentification8Choice

Definition: Choice between formats for the identification of the financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1848
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C7	1848
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1849
Or}	ProprietaryIdentification <Prtryld>	[1..1]	Text		1849

76.1.18.4.1 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Identifies the name and (long) postal address of a financial institution.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5 on page 2832](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.18.4.2 BICFI <BICFI>

Presence: [1..1]

Definition: Identification of the financial institution expressed as a BIC.

Impacted by: [C7 BICFI](#)

Datatype: [BICFIIdentifier on page 3394](#)

Constraints

- **BICFI**

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001

– *Error Text:* Invalid FI BIC.

76.1.18.4.3 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [1..1]

Definition: Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

ClearingSystemMemberIdentification <ClrSysMmbld> contains one of the following elements (see [ClearingSystemMemberIdentificationChoice](#) on page 1809 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1810
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1810
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1810
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1811
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1811
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1811
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1811
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1811
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1811
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1811
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1812
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1812
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1812
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1812
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1812
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1812
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1812
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1813
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1813

76.1.18.4.4 ProprietaryIdentification <Prtryld>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

Datatype: [Max35Text](#) on page 3409

76.1.18.5 FinancialInstitutionIdentification10

Definition: Identification of a financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.18.5.1 Party <Pty>

Presence: [1..1]

Definition: Unique identification of the party.

Party <Pty> contains one of the following elements (see [FinancialInstitutionIdentification8Choice](#) on page 1848 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1848
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C7	1848
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1849
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		1849

76.1.18.5.2 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIIdentifier](#) on page 3400

76.1.18.6 FinancialInstitutionIdentification3Choice

Definition: Choice between formats for the identification of the financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1850
Or	BIC <BIC>	[1..1]	IdentifierSet	C4	1851
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1851
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1852

76.1.18.6.1 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Identifies the name and (long) postal address of a financial institution.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5 on page 2832](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.18.6.2 BIC <BIC>

Presence: [1..1]

Definition: Code allocated to a financial institution by the ISO 9362 Registration Authority as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: C4 BIC

Datatype: BICIdentifier on page 3394

Constraints

- **BIC**

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid BIC Code

76.1.18.6.3 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [1..1]

Definition: Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

ClearingSystemMemberIdentification <ClrSysMmbld> contains one of the following elements (see [ClearingSystemMemberIdentificationChoice](#) on page 1809 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1810
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1810
Or	IrishNSCIDentification <IENSC>	[1..1]	IdentifierSet		1810
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1811
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1811
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1811
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1811
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1811
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1811
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1811
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1812
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1812
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1812
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1812
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1812
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1812
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1812
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1813
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1813

76.1.18.6.4 ProprietaryIdentification <Prtryld>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <Prtryld> contains the following elements (see [SimpleIdentificationInformation](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016

76.1.18.7 BranchData2

Definition: Information that locates and identifies a specific branch of a financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1853
	Name <Nm>	[0..1]	Text		1853
	PostalAddress <PstlAdr>	[0..1]	±		1853

76.1.18.7.1 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identification of a branch of a financial institution.

Datatype: [Max35Text on page 3409](#)

76.1.18.7.2 Name <Nm>

Presence: [0..1]

Definition: Name by which an agent is known and which is usually used to identify that agent.

Datatype: [Max140Text on page 3407](#)

76.1.18.7.3 PostalAddress <PstlAdr>

Presence: [0..1]

Definition: Information that locates and identifies a specific address, as defined by postal services.

PostalAddress <PstlAdr> contains the following elements (see [PostalAddress6 on page 2827](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2828
	Department <Dept>	[0..1]	Text		2828
	SubDepartment <SubDept>	[0..1]	Text		2828
	StreetName <StrtNm>	[0..1]	Text		2828
	BuildingNumber <BldgNb>	[0..1]	Text		2829
	PostCode <PstCd>	[0..1]	Text		2829
	TownName <TwnNm>	[0..1]	Text		2829
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2829
	Country <Ctry>	[0..1]	CodeSet	C11	2829
	AddressLine <AdrLine>	[0..7]	Text		2830

76.1.18.8 BranchData

Definition: Information that locates and identifies a specific branch of a financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1854
	Name <Nm>	[0..1]	Text		1854
	PostalAddress <PstlAdr>	[0..1]	±		1854

76.1.18.8.1 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identification of a branch of a financial institution.

Datatype: [Max35Text on page 3409](#)

76.1.18.8.2 Name <Nm>

Presence: [0..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: [Max35Text on page 3409](#)

76.1.18.8.3 PostalAddress <PstlAdr>

Presence: [0..1]

Definition: Information that locates and identifies a specific address, as defined by postal services.

PostalAddress <PstlAdr> contains the following elements (see [PostalAddress1 on page 2830](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2830
	AddressLine <AdrLine>	[0..5]	Text		2830
	StreetName <StrtNm>	[0..1]	Text		2831
	BuildingNumber <BldgNb>	[0..1]	Text		2831
	PostCode <PstCd>	[0..1]	Text		2831
	TownName <TwnNm>	[0..1]	Text		2831
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2831
	Country <Ctry>	[1..1]	CodeSet	C11	2831

76.1.19 Financial Instrument

76.1.19.1 AdditionalInformation2

Definition: Additional information about a request (e.g. financing request).

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			1855
{Or	Reason <Rsn>	[1..1]	CodeSet		1855
Or}	Proprietary <Prtry>	[1..1]	±		1855
	InformationValue <InfVal>	[0..1]	Text		1856

76.1.19.1.1 OrderWaiverReason <OrdWvrRsn>

Presence: [0..*]

Definition: Reason for the waiver.

OrderWaiverReason <OrdWvrRsn> contains one of the following **OrderWaiverReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	CodeSet		1855
Or}	Proprietary <Prtry>	[1..1]	±		1855

76.1.19.1.1.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason why an order has to be handled differently, probably in a manual fashion, because, for example, the investment manager has agreed a waiver to the terms.

Datatype: [OrderWaiverReason1Code](#) on page 3319

CodeName	Name	Definition
LATE	LateTradeDealing	Dealing of the trade is outside the normal limit.
FEND	FrontEndLoadCharge	Front end load charge differs from PPM.
BMIN	BelowMinimumInvestmentAmount	Amount of subscription is below the minimum initial investment amount.
CUTO	CutOffDate	Cut off date has been passed.
COMW	CommissionWaiver	Standard commission is waived.

76.1.19.1.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason why an order has to be handled differently, probably in a manual fashion, because, for example, the investment manager has agreed a waiver to the terms.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13](#) on page 2020 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.19.1.2 InformationValue <InfVal>

Presence: [0..1]

Definition: Contents of the additional information.

Datatype: [Max350Text](#) on page 3409

76.1.19.2 FinancialInstrument96

Definition: Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PhysicalBearerSecurities <PhysBrScities>	[0..1]	Indicator		1857
	DematerialisedBearerSecurities <DmtrlSdBrScities>	[0..1]	Indicator		1858
	PhysicalRegisteredSecurities <PhysRegdScities>	[0..1]	Indicator		1858
	DematerialisedRegisteredSecurities <DmtrlSdRegdScities>	[0..1]	Indicator		1858
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1858
	DividendPolicy <DvddPlcy>	[0..1]	CodeSet		1858
	DividendFrequency <DvddFrqcy>	[0..1]	CodeSet		1859
	ReinvestmentFrequency <RinvstmtFrqcy>	[0..1]	CodeSet		1859
	FrontEndLoad <FrntEndLd>	[0..1]	Indicator		1860
	BackEndLoad <BckEndLd>	[0..1]	Indicator		1860
	SwitchFee <SwtchFee>	[0..1]	Indicator		1860
	EUSavingsDirective <EUSvgsDrctv>	[0..1]	CodeSet		1860
	LaunchDate <LnchDt>	[0..1]	Date		1861
	FundEndDate <FndEndDt>	[0..1]	Date		1861
	TerminationDate <TermntnDt>	[0..1]	Date		1861
	InitialOfferEndDate <InitlOfferEndDt>	[0..1]	Date		1861
	SuspensionStartDate <SspnsnStartDt>	[0..1]	Date		1861
	SuspensionEndDate <SspnsnEndDt>	[0..1]	Date		1861
	MaturityDate <MtrtyDt>	[0..1]	Date		1861
	MaybeTerminatedEarly <MayBeTermntdEarly>	[0..1]	CodeSet		1862
	ClosedEndFund <ClsdEndFnd>	[0..1]	Indicator		1862
	Equalisation <Equlstn>	[0..1]	Indicator		1862
	TaxEfficientProductEligible <TaxEffcntPdctElgbl>	[0..1]	Indicator		1862
	Authorised <Authrsd>	[0..1]	Indicator		1862
	RDRCompliant <RDRCmplnt>	[0..1]	Indicator		1863
	ManagementFeeSource <MgmtFeeSrc>	[0..1]	CodeSet		1863
	PerformanceFee <PrfrmncFee>	[0..1]	Indicator		1863
	AdditionalInformation <AddtlInf>	[0..*]	±		1863

76.1.19.2.1 PhysicalBearerSecurities <PhysBrScities>

Presence: [0..1]

Definition: Indicates whether it is possible to hold bearer units/shares in this class in certified form.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.2.2 DematerialisedBearerSecurities <DmtrlSdBrscties>

Presence: [0..1]

Definition: Indicates whether it is possible to hold bearer units/shares in paperless form.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.2.3 PhysicalRegisteredSecurities <PhysRegdScties>

Presence: [0..1]

Definition: Indicates whether it is possible to hold registered units/shares in this class in paperless form.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.2.4 DematerialisedRegisteredSecurities <DmtrlSdRegdScties>

Presence: [0..1]

Definition: Indicates whether it is possible to hold registered units/shares in this class in paperless form.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.2.5 DistributionPolicy <DstrbtnPlcy>

Presence: [0..1]

Definition: Income policy relating to the class type, that is, if income is paid out or retained in the fund.

Datatype: [DistributionPolicy1Code on page 3271](#)

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

76.1.19.2.6 DividendPolicy <DvddPlcy>

Presence: [0..1]

Definition: Dividend policy of the fund, for example, cash, units.

Datatype: [DividendPolicy1Code on page 3271](#)

CodeName	Name	Definition
CASH	Cash	Dividend is paid in cash.
UNIT	Units	Dividend is paid in units.
BOTH	Both	Dividend is paid in both Cash and Units.

76.1.19.2.7 DividendFrequency <DvddFrqcy>

Presence: [0..1]

Definition: Frequency with which the income is allocated to investors.

Datatype: EventFrequency5Code on page 3276

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

76.1.19.2.8 ReinvestmentFrequency <RinvstmtFrqcy>

Presence: [0..1]

Definition: Frequency with which the reinvestment takes place, this is the same or less than the dividend frequency.

Datatype: EventFrequency5Code on page 3276

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.

CodeName	Name	Definition
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

76.1.19.2.9 FrontEndLoad <FrntEndLd>

Presence: [0..1]

Definition: Indicates whether a front end charge on subscription orders for this class can be applied.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.2.10 BackEndLoad <BckEndLd>

Presence: [0..1]

Definition: Indicates whether an exit charge (for example, CDSC) on redemption orders for this class can be applied.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.2.11 SwitchFee <SwchFee>

Presence: [0..1]

Definition: Indicates whether a separate fee for switching between sub-funds of the same umbrella can be applied.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.2.12 EUSavingsDirective <EUSvgsDrctv>

Presence: [0..1]

Definition: Indicates whether the investment fund class is subject to the European Union Saving Directive.

Datatype: [EUSavingsDirective1Code](#) on page 3275

CodeName	Name	Definition
EUSI	EUSavingsInScope	Investment Fund is in the scope of the directive.

CodeName	Name	Definition
EUSO	EUSavingsOutScope	Investment Fund is out of the scope of the directive.
VARI	EUSavingsVariable	Investment Fund may vary for inclusion in the scope of the directive.

76.1.19.2.13 LaunchDate <LnchDt>

Presence: [0..1]

Definition: Date on which the fund is open for investment.

Datatype: [ISODate on page 3391](#)

76.1.19.2.14 FundEndDate <FndEndDt>

Presence: [0..1]

Definition: Date on which the fund is closed to investment.

Datatype: [ISODate on page 3391](#)

76.1.19.2.15 TerminationDate <TermtnDt>

Presence: [0..1]

Definition: Date the fund closes.

Datatype: [ISODate on page 3391](#)

76.1.19.2.16 InitialOfferEndDate <InitlOfferEndDt>

Presence: [0..1]

Definition: Date on which the discount period of the newly launched investment fund ends.

Datatype: [ISODate on page 3391](#)

76.1.19.2.17 SuspensionStartDate <SspnsnStartDt>

Presence: [0..1]

Definition: Date on which valuation of the investment fund class is suspended.

Datatype: [ISODate on page 3391](#)

76.1.19.2.18 SuspensionEndDate <SspnsnEndDt>

Presence: [0..1]

Definition: Date on which valuation of the investment fund class is unsuspended.

Datatype: [ISODate on page 3391](#)

76.1.19.2.19 MaturityDate <MtrtyDt>

Presence: [0..1]

Definition: Maturity date of the product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00065.

Datatype: [ISODate on page 3391](#)

76.1.19.2.20 **MayBeTerminatedEarly <MayBeTermntdEarly>**

Presence: [0..1]

Definition: Specifies whether the product may be terminated early. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00067.

Datatype: TargetMarket1Code on page 3359

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

76.1.19.2.21 **ClosedEndFund <ClsdEndFnd>**

Presence: [0..1]

Definition: Indicates whether the fund is close-ended.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.2.22 **Equalisation <Equlstn>**

Presence: [0..1]

Definition: Indicates whether equalisation is applied.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.2.23 **TaxEfficientProductEligible <TaxEffcntPdctElgbl>**

Presence: [0..1]

Definition: Indicates whether the fund is eligible for a tax efficient product.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.2.24 **Authorised <Authrsd>**

Presence: [0..1]

Definition: Indicates whether the fund is authorised by the regulatory compliance authority.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.2.25 RDRCompliant <RDRComplnt>

Presence: [0..1]

Definition: Indicates whether the fund is compliant with the Retail Distribution Review (RDR).

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.2.26 ManagementFeeSource <MgmtFeeSrc>

Presence: [0..1]

Definition: Specifies from where the management fee is taken.

Datatype: [AnnualChargePaymentType1Code](#) on page 3248

CodeName	Name	Definition
CAPL	Capital	Annual charge is deducted from the fund capital.
INCO	Income	Annual charge is deducted from the fund income.

76.1.19.2.27 PerformanceFee <PrfrmncFee>

Presence: [0..1]

Definition: Indicates whether there is a performance fee feature or carried interest. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00045.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.2.28 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the fund.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.19.3 TaxEfficientProduct4

Definition: Characteristics of a tax efficient product.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		1864
	CurrentYear <CurYr>	[0..1]	Indicator		1864
	PreviousYears <PrvsYrs>	[0..1]	±	C23	1864
	AdditionalInformation <AddttlInf>	[0..*]	±		1865

76.1.19.3.1 TaxEfficientProductType <TaxEffcntPdctTp>

Presence: [1..1]

Definition: Type of tax efficient product, for example, an individual savings account (ISA) in the UK.

TaxEfficientProductType <TaxEffcntPdctTp> contains one of the following elements (see [TaxEfficientProductType2Choice](#) on page 1873 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1873
Or}	Proprietary <Prtry>	[1..1]	±		1874

76.1.19.3.2 CurrentYear <CurYr>

Presence: [0..1]

Definition: Indicates that all the current fiscal year's products are to be included.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.3.3 PreviousYears <PrvsYrs>

Presence: [0..1]

Definition: Investment plans issued during previous years.

Impacted by: [C23 SpecificPreviousYearsGuideline](#)

PreviousYears <PrvsYrs> contains one of the following elements (see [PreviousYear2Choice](#) on page 2380 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		2380
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		2380

Constraints

- **SpecificPreviousYearsGuideline**
(Rule)

SpecificPreviousYears must not contain the current year.

76.1.19.3.4 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the tax efficient product.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.19.4 GeneralInvestment2

Definition: Information about a general investment.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1865
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1865
	CurrentInvestmentAmount <CurInvstmtAmt>	[0..1]	Amount	C2	1867
	EstimatedValue <EstmtdVal>	[0..1]	±		1867
	AdditionalInformation <AddtlInf>	[0..*]	±		1867

76.1.19.4.1 Type <Tp>

Presence: [0..1]

Definition: Type of investment.

Type <Tp> contains one of the following elements (see [GeneralInvestmentAccountType2Choice](#) on page 1872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1872
Or}	Proprietary <Prtry>	[1..1]	±		1873

76.1.19.4.2 OwnershipType <OwnrshTp>

Presence: [0..1]

Definition: Specifies whether the account is, for example, in a nominee name or own name.

Datatype: [AccountOwnershipType6Code](#) on page 3244

CodeName	Name	Definition
BOWN	BareOwner	A person has bare ownership on the asset.

CodeName	Name	Definition
CORP	Corporation	Account owner is a corporate.
CUST	CustodialAccount	Minor's account, registered in the minor's name. Since the minor cannot legally own property, the custodian of the account maintains control of the account.
ENTR	Entrepreneurial	Entrepreneurial account.
EURE	EUResidualEntity	Account owner is an entity located in the European Union which can be considered neither as a legal entity (for example, company, corporate), nor as an individual person, nor as a UCITS (Undertakings for Collective Investment of Transferable Securities) fund.
PART	FormalPartnership	Account owner is a contractual business organisation in which two or more individuals agree to pool their funds to manage and operate a business.
TRUS	FormalTrust	Account owner is an organisation which is engaged as a trustee for individuals or businesses in the administration of services such as stock transfer, registration, trust funds.
GOVO	GovernmentOrganisation	Account owner is a government organisation.
JOIT	JointAccount	Two or more individuals of legal age own shares of the same account.
COMO	JointAccountInCommon	Two or more individuals of legal age own shares of the same account. Upon the death of one of the account owners, the respective percentage of the ownership is transferred to the deceased's estate.
JOIN	JointAccountWithSurvivorshipRights	Two or more individuals own shares of the same account. Upon the death of one of the account owners, the entire account ownership is passed onto the surviving owners.
LLCO	LimitedLiabilityCompany	Account is for a limited liability company.
LIPA	LimitedPartnership	Account owner is a limited partnership or is of sole proprietorship.
NOMI	Nominee	Account owner is a person or firm into whose name securities or other properties are transferred in order to facilitate transactions whilst leaving the customer as the actual owner.
NFPO	NonProfitOrganisation	Account owner is an association that is given tax-free status due to the nature of their activities such as charity organisation.
ONIS	OtherNonIndividual	Account owner is another type of non individual organisation.
OWNR	Owner	A person has full ownership on the asset.

CodeName	Name	Definition
RGIC	RegisteredInvestmentCompany	Account is for a registered investment company.
SIGL	SingleOwnerAccount	Account has only one individual owner.
UNCO	Unincorporated	Account owner is an unincorporated partnership or is of sole proprietorship.
USUF	Usufructuary	The person is ...

76.1.19.4.3 CurrentInvestmentAmount <CurInvstmtAmt>

Presence: [0..1]

Definition: Amount of money invested.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.19.4.4 EstimatedValue <EstmtdVal>

Presence: [0..1]

Definition: Estimated value of the assets.

EstimatedValue <EstmtdVal> contains the following elements (see DateAndAmount2 on page 1612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1612
	Amount <Amt>	[1..1]	Amount	C3, C12	1612

76.1.19.4.5 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the portfolio.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.19.5 TaxEfficientProduct6

Definition: Characteristics of a tax efficient product.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		1868
	CurrentYear <CurYr>	[0..1]	Indicator		1869
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1869
	PreviousYears <PrvsYrs>	[0..1]		C36	1869
	PreviousYears <PrvsYrs>	[1..1]			1869
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1870
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		1870
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1870
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C39	1870
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		1871
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C2	1871
	CashComponent <CshCmpnt>	[0..1]	Amount	C2	1871
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C2	1872
	AdditionalInformation <AddtlInf>	[0..*]	±		1872

76.1.19.5.1 TaxEfficientProductType <TaxEffcntPdctTp>

Presence: [1..1]

Definition: Type of tax efficient product, for example, an individual savings account (ISA) in the UK.

TaxEfficientProductType <TaxEffcntPdctTp> contains one of the following elements (see [TaxEfficientProductType2Choice](#) on page 1873 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1873
Or}	Proprietary <Prtry>	[1..1]	±		1874

76.1.19.5.2 CurrentYear <CurYr>

Presence: [0..1]

Definition: Indicates that all the current fiscal year's products are to be included.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.5.3 CashComponentIndicator <CshCmpntInd>

Presence: [0..1]

Definition: Indicates whether the product contains a cash asset for transfer.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.5.4 PreviousYears <PrvsYrs>

Presence: [0..1]

Definition: Investment plans issued during previous years.

Impacted by: [C36 SpecificPreviousYearsGuideline](#)

PreviousYears <PrvsYrs> contains the following **PreviousYear4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PreviousYears <PrvsYrs>	[1..1]			1869
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1870
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		1870
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1870

Constraints

- **SpecificPreviousYearsGuideline**

(Rule)

SpecificPreviousYears must not contain the current year.

76.1.19.5.4.1 PreviousYears <PrvsYrs>

Presence: [1..1]

Definition: Investment plans issued during previous years.

PreviousYears <PrvsYrs> contains one of the following **PreviousYear1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1870
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		1870

76.1.19.5.4.1.1 AllPreviousYears <AllPrvsYrs>

Presence: [1..1]

Definition: Selection of all investment plans.

Datatype: [PreviousAll](#) on page 3410

76.1.19.5.4.1.2 SpecificPreviousYears <SpfcPrvsYrs>

Presence: [1..*]

Definition: Selection of investment plans issued during previous years.

Datatype: [ISOYear](#) on page 3411

76.1.19.5.4.2 CashComponentIndicator <CshCmpntInd>

Presence: [0..1]

Definition: Indicates whether the product contains a cash asset for transfer from previous years.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.5.5 CurrentYearSubscriptionDetails <CurYrSbcptDtls>

Presence: [0..1]

Definition: Amounts already subscribed for the current year.

Impacted by: [C39 TotalAmountYearToDateRule](#)

CurrentYearSubscriptionDetails <CurYrSbcptDtls> contains the following **SubscriptionInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		1871
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C2	1871
	CashComponent <CshCmpnt>	[0..1]	Amount	C2	1871
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C2	1872

Constraints

- **TotalAmountYearToDateRule**
(Rule)

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

76.1.19.5.5.1 DateOfFirstSubscription <DtOfFrstSbcpt>

Presence: [1..1]

Definition: Date of the first subscription in the current year.

Datatype: ISODate on page 3391

76.1.19.5.5.2 EquityComponent <EqtyCmpnt>

Presence: [0..1]

Definition: Amount subscribed in the current tax year into equities (not including dividends).

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.19.5.5.3 CashComponent <CshCmpnt>

Presence: [0..1]

Definition: Amount subscribed in the current tax year into cash.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

76.1.19.5.5.4 TotalAmountYearToDate <TtIAmtYrToDt>

Presence: [1..1]

Definition: Total amount subscribed in the current tax year.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.19.5.6 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the tax efficient product.

AdditionalInformation <AddtlInf> contains the following elements (see AdditionalInformation15 on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.19.6 GeneralInvestmentAccountType2Choice

Definition: Choice of formats for a type of investment account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1872
Or}	Proprietary <Prtry>	[1..1]	±		1873

76.1.19.6.1 Code <Cd>

Presence: [1..1]

Definition: Type of investment account expressed as a code.

Datatype: [GeneralInvestmentAccountType2Code on page 3287](#)

CodeName	Name	Definition
ANYY	Any	Any type of general investment account.
EQUI	ShareSavingsAccount	General shares or equity savings account.

76.1.19.6.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of investment account expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.19.7 TaxEfficientProductType2Choice

Definition: Choice of formats for a type of tax efficient product.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1873
Or}	Proprietary <Prtry>	[1..1]	±		1874

76.1.19.7.1 Code <Cd>

Presence: [1..1]

Definition: Type of tax efficient product expressed as a code.

Datatype: [TaxEfficientProductType2Code on page 3361](#)

CodeName	Name	Definition
CASH	Cash	Cash individual savings account. In the UK, this is known as a cash ISA.
CLIS	CashLISA	Cash lifetime individual savings account. In the UK, this is known as a cash LISA.
FISA	Flexible	Flexible individual savings account. In the UK, this is known as a FISA.
GISK	GeneralInvestmentSavingsAccount	General investment savings account. (Known as Investeringssparkonto (ISK) in some markets.)
GASK	GeneralShareSavingsAccount	General shares or equity savings account. (Known as ASK in some markets.)

CodeName	Name	Definition
HISA	HelpToBuy	Help to buy individual savings account. In the UK, this is known as a HISA.
INNF	InnovativeFinance	Innovative finance individual savings account. In the UK, this is known as an innovative ISA.
JCSH	JuniorCash	Junior cash individual savings account. In the UK, this is known as a cash JISA.
JISA	JuniorStocksAndSharesISA	Junior stocks and shares individual savings account. In the UK, this is known as a stocks and shares JISA.
LISA	Lifetime	Stocks and shares lifetime individual savings account. In the UK, this is known as a stocks and shares LISA.
CCTF	NonStakeholderChildTrustFund	Non-stakeholder child trust fund individual savings account. In the UK, this is known as a non-stakeholder CTF ISA.
SCTF	StakeholderChildTrustFund	Stakeholder child trust fund individual savings account. In the UK, this is known as a stakeholder CTF ISA.
EQUI	StocksAndShares	Stocks and shares individual savings account. In the UK, this is known as a stocks and shares ISA.

76.1.19.7.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of tax efficient product expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.19.8 FinancialInstrument88

Definition: Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1875
	Name <Nm>	[0..1]	Text		1876
	ShortName <ShrtNm>	[0..1]	Text		1876
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1876
	ClassType <ClsTp>	[0..1]	Text		1877
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1877
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1877
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1877

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.19.8.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security by an ISIN.

Identification <Id> contains one of the following elements (see [SecurityIdentification25Choice](#) on page 1928 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1928
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1929
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1929
Or	RIC <RIC>	[1..1]	IdentifierSet		1929
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1929
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1929
Or	CTA <CTA>	[1..1]	IdentifierSet		1929
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1929
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1930
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1930
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		1930
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1930
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1930
Or	Common <Cmon>	[1..1]	IdentifierSet		1930
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1930
	Identification <Id>	[1..1]	Text		1931
	IdentificationSource <IdSrc>	[1..1]	±		1931

76.1.19.8.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text](#) on page 3409

76.1.19.8.3 ShortName <ShrtNm>

Presence: [0..1]

Definition: Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

Datatype: [Max35Text](#) on page 3409

76.1.19.8.4 SupplementaryIdentification <SplmtryId>

Presence: [0..1]

Definition: Additional information about the financial instrument.

Datatype: [Max35Text](#) on page 3409

76.1.19.8.5 ClassType <ClsTp>

Presence: [0..1]

Definition: Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

Datatype: [Max35Text on page 3409](#)

76.1.19.8.6 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, that is, ownership, of the security, that is, registered or bearer.

Datatype: [FormOfSecurity1Code on page 3281](#)

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.19.8.7 DistributionPolicy <DstrbtnPlcy>

Presence: [0..1]

Definition: Income policy relating to a class type, that is, if income is paid out or retained in the fund.

Datatype: [DistributionPolicy1Code on page 3271](#)

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

76.1.19.8.8 DematerialisedIndicator <DmtrlsdInd>

Presence: [0..1]

Definition: Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.9 FinancialInstrument87

Definition: Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1878
	Name <Nm>	[0..1]	Text		1879
	ShortName <ShrtNm>	[0..1]	Text		1879
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1879
	ClassType <ClsstP>	[0..1]	Text		1880
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1880
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1880
	ProductGroup <PdctGrp>	[0..1]	Text		1880
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1880
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1882
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1882
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1882
	Pledging <Pldgg>	[0..1]	CodeSet		1882
	Collateral <Coll>	[0..1]	CodeSet		1883
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1883
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1883
	FundIntention <FndIntntn>	[0..1]	CodeSet		1883
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1884

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.19.9.1 Identification <Id>

Presence: [1..1]

Definition: Identification of the security by an ISIN.

Identification <Id> contains one of the following elements (see [SecurityIdentification25Choice](#) on page 1928 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1928
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1929
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1929
Or	RIC <RIC>	[1..1]	IdentifierSet		1929
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1929
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1929
Or	CTA <CTA>	[1..1]	IdentifierSet		1929
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1929
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1930
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1930
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		1930
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1930
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1930
Or	Common <Cmon>	[1..1]	IdentifierSet		1930
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1930
	Identification <Id>	[1..1]	Text		1931
	IdentificationSource <IdSrc>	[1..1]	±		1931

76.1.19.9.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text](#) on page 3409

76.1.19.9.3 ShortName <ShrtNm>

Presence: [0..1]

Definition: Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

Datatype: [Max35Text](#) on page 3409

76.1.19.9.4 SupplementaryIdentification <SplmtryId>

Presence: [0..1]

Definition: Additional information about the financial instrument to help identify the instrument.

Datatype: [Max35Text](#) on page 3409

76.1.19.9.5 ClassType <ClsTp>

Presence: [0..1]

Definition: Features of units offered by the fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

Datatype: [Max35Text on page 3409](#)

76.1.19.9.6 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, that is, ownership, of the security, that is, registered or bearer.

Datatype: [FormOfSecurity1Code on page 3281](#)

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.19.9.7 DistributionPolicy <DstrbtnPlcy>

Presence: [0..1]

Definition: Income policy relating to the class type, that is, if income is paid out or retained in the fund.

Datatype: [DistributionPolicy1Code on page 3271](#)

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

76.1.19.9.8 ProductGroup <PdctGrp>

Presence: [0..1]

Definition: Company specific description of a group of funds.

Datatype: [Max140Text on page 3407](#)

76.1.19.9.9 BlockedHoldingDetails <BlckdHldgDtls>

Presence: [0..1]

Definition: When an account at fund or security level is blocked, this specifies details on how the holding is blocked.

Impacted by: [C18 HoldingCertificateNumberRule](#), [C26 PartialHoldingUnits1Rule](#), [C27 PartialHoldingUnits2Rule](#), [C28 PartialHoldingUnits3Rule](#)

BlockedHoldingDetails <BlckdHldgDtls> contains the following **BlockedHoldingDetails2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1882
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1882
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1882

Constraints

- **HoldingCertificateNumberRule**

(Rule)

If BlockHolding is CERT (Certificate) then HoldingCertificateNumber is mandatory.

On Condition

 /BlockedHolding is equal to value 'Certificate'

Following Must be True

 /HoldingCertificateNumber Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00294
- *Error Text:* HoldingCertificateNumber must be present.

- **PartialHoldingUnits1Rule**

(Rule)

If BlockHolding is NPRH (NonPartialHolding) then PartialHoldingUnits must not be present.

On Condition

 /BlockedHolding is equal to value 'NonPartialHolding'

Following Must be True

 /PartialHoldingUnits Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00291
- *Error Text:* PartialHoldingUnits must not be present.

- **PartialHoldingUnits2Rule**

(Rule)

If BlockHolding is PPTH (PartialHolding) then PartialHoldingUnits is mandatory.

On Condition

 /BlockedHolding is equal to value 'PartialHolding'

Following Must be True

 /PartialHoldingUnits Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00293

– *Error Text:* PartialHoldingUnits must be present.

• **PartialHoldingUnits3Rule**

(Rule)

If BlockHolding is CERT (Certificate) then PartialHoldingUnits must not be present.

On Condition

/BlockedHolding is equal to value 'Certificate'

Following Must be True

/PartialHoldingUnits Must be absent

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00292

– *Error Text:* PartialHoldingUnits must not be present.

76.1.19.9.9.1 BlockedHolding <BlckdHldg>

Presence: [1..1]

Definition: Specifies how the blocked account holding is defined.

Datatype: [Holding1Code on page 3289](#)

CodeName	Name	Definition
CERT	Certificate	Certificate.
NPRH	NonPartialHolding	Non partial holding.
PRTH	PartialHolding	Partial holding.

76.1.19.9.9.2 PartialHoldingUnits <PrtlHldgUnits>

Presence: [0..1]

Definition: When an account is blocked at the level of fund or security, partially, this is the number of units blocked.

Datatype: [DecimalNumber on page 3405](#)

76.1.19.9.9.3 HoldingCertificateNumber <HldgCertNb>

Presence: [0..1]

Definition: When an account is blocked at the level of fund or security, this specifies the certificate number of the blocked units.

Datatype: [Max35Text on page 3409](#)

76.1.19.9.10 Pledging <Pldgg>

Presence: [0..1]

Definition: Specifies whether the holdings in the account are eligible for pledging.

Datatype: [Eligible1Code on page 3272](#)

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.

CodeName	Name	Definition
NELI	NotEligible	Item is not eligible.

76.1.19.9.11 Collateral <Coll>

Presence: [0..1]

Definition: Specifies whether the holdings in the account are used as collateral.

Datatype: [Collateral1Code on page 3259](#)

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

76.1.19.9.12 ThirdPartyRights <ThrdPtyRghts>

Presence: [0..1]

Definition: Details of third party rights.

ThirdPartyRights <ThrdPtyRghts> contains the following elements (see [ThirdPartyRights2 on page 2142](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2143
	DateTime <DtTm>	[0..1]	DateTime		2143
	Holder <Hldr>	[0..1]	±		2143
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2143
	Amount <Amt>	[0..1]	Amount	C2, C10	2143
	Description <Desc>	[0..1]	Text		2144

76.1.19.9.13 FundOwnership <FndOwnrsh>

Presence: [0..1]

Definition: Specifies if all the shares are owned exclusively by the fund company.

Datatype: [FundOwnership1Code on page 3285](#)

CodeName	Name	Definition
YALL	AllOwned	All shares owned.
NALL	NotAllOwned	Not all shares owned.

76.1.19.9.14 FundIntention <FndIntntn>

Presence: [0..1]

Definition: Specifies if the fund is intended for qualified investors.

Datatype: [FundIntention1Code on page 3283](#)

CodeName	Name	Definition
YQUA	Qualified	Qualified.
NQUA	NotQualified	Not qualified.

76.1.19.9.15 OperationalStatus <OprlSts>

Presence: [0..1]

Definition: Operational status of the fund.

Datatype: [OperationalStatus1Code on page 3316](#)

CodeName	Name	Definition
ENAB	Enabled	Enabled.
SPEC	SpecialCircumstances	Special circumstances.

76.1.19.10 QuotationType1Choice

Definition: Choice of formats for a type of quotation

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1884
Or}	Proprietary <Prtry>	[1..1]	±		1884

76.1.19.10.1 Code <Cd>

Presence: [1..1]

Definition: Type of quotation expressed as a code.

Datatype: [QuotationType1Code on page 3333](#)

CodeName	Name	Definition
ACTU	ActualAmount	Quotation expressed as a currency and amount.
PRCT	Percentage	Quotation is expressed as percentage.

76.1.19.10.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of quotation expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.19.11 GovernanceProcess1Choice

Definition: Choice of formats for a type of governance process.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1885
Or}	Proprietary <Prtry>	[1..1]	±		1885

76.1.19.11.1 Code <Cd>

Presence: [1..1]

Definition: Type of governance process expressed as a code.

Datatype: [GovernanceProcessType1Code](#) on page 3287

CodeName	Name	Definition
BMIF	ComparableMiFID	Product governance procedure is comparable to MiFID II.
NINF	NoInformation	No information is requested from the issuer.
CMIF	NotMiFID	Product governance procedure is not in accordance with MiFID II.
AMIF	PursuantMiFID	Product governance procedure is pursuant to MiFID II.

76.1.19.11.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of governance process expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.19.12 AdditionalInformation15

Definition: Additional information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.19.12.1 InformationType <InfTp>

Presence: [1..1]

Definition: Type of additional information.

InformationType <InfTp> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.19.12.2 InformationValue <InfVal>

Presence: [1..1]

Definition: Value of the additional information.

Datatype: [Max350Text](#) on page 3409

76.1.19.13 FinancialInstrument71

Definition: Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±	C3, C4, C5, C6, C7	1886
	ShortName <ShrtNm>	[0..1]	Text		1888
	Name <Nm>	[0..1]	Text		1888
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1888
	ClassType <ClsTp>	[0..1]	Text		1888
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1889
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1889
	ProductGroup <PdctGrp>	[0..1]	Text		1889

76.1.19.13.1 Identification <Id>

Presence: [1..1]

Definition: Identification of the security, typically by an ISIN.

Impacted by: [C3 DescriptionPresenceRule](#), [C4 DescriptionUsageRule](#), [C5 ISINGuideline](#), [C6 ISINPresenceRule](#), [C7 OtherIdentificationPresenceRule](#)

Identification <Id> contains the following elements (see [SecurityIdentification19](#) on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		1899
	OtherIdentification <Othrid>	[0..*]			1899
	Identification <Id>	[1..1]	Text		1899
	Suffix <Sfx>	[0..1]	Text		1900
	Type <Tp>	[1..1]	±		1900
	Description <Desc>	[0..1]	Text		1900

Constraints

- **DescriptionPresenceRule**

(Rule)

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
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00192
- *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

- **ISINPresenceRule**

(Rule)

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
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00194
- *Error Text:* At least one identification must be present.

• **OtherIdentificationPresenceRule**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00193
- *Error Text:* At least one identification must be present.

76.1.19.13.2 ShortName <ShrtNm>

Presence: [0..1]

Definition: Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

Datatype: Max35Text on page 3409

76.1.19.13.3 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: Max350Text on page 3409

76.1.19.13.4 SupplementaryIdentification <Splmtryld>

Presence: [0..1]

Definition: Additional information about the financial instrument to help identify the instrument.

Datatype: Max35Text on page 3409

76.1.19.13.5 ClassType <ClsTp>

Presence: [0..1]

Definition: Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example,, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

Datatype: Max35Text on page 3409

76.1.19.13.6 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Specifies the form, that is, ownership, of the security.

Datatype: [FormOfSecurity1Code on page 3281](#)

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.19.13.7 DistributionPolicy <DstrbtnPlcy>

Presence: [0..1]

Definition: Income policy relating to a class type, that is, if income is paid out or retained in the fund.

Datatype: [DistributionPolicy1Code on page 3271](#)

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

76.1.19.13.8 ProductGroup <PdctGrp>

Presence: [0..1]

Definition: Company specific description of a group of funds.

Datatype: [Max140Text on page 3407](#)

76.1.19.14 LotDetails1

Definition: Facilitates the redemption of one or more lots.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LotDescription <LotDesc>	[0..1]	Text		1889
	TradeDate <TradDt>	[1..1]	Date		1890
	OrderReference <OrdrRef>	[1..1]	Text		1890
	DealReference <DealRef>	[0..1]	Text		1890
	LotQuantityAndAmount <LotQtyAndAmt>	[0..1]	±		1890

76.1.19.14.1 LotDescription <LotDesc>

Presence: [0..1]

Definition: Description of the lot.

Datatype: [Max350Text on page 3409](#)

76.1.19.14.2 TradeDate <TradDt>

Presence: [1..1]

Definition: Date the units were created.

Datatype: [ISODate on page 3391](#)

76.1.19.14.3 OrderReference <OrdRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier of the original order that resulted in the lot.

Datatype: [Max35Text on page 3409](#)

76.1.19.14.4 DealReference <DealRef>

Presence: [0..1]

Definition: Deal reference of the original subscription execution that resulted in the lot.

Datatype: [Max35Text on page 3409](#)

76.1.19.14.5 LotQuantityAndAmount <LotQtyAndAmt>

Presence: [0..1]

Definition: Quantity of the lot.

LotQuantityAndAmount <LotQtyAndAmt> contains the following elements (see [SidePocketQuantityAndAmount1 on page 2340](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[0..1]	±		2340
	OrderedAmount <OrdrdAmt>	[0..1]	Amount	C2, C10	2341
	HoldingsRate <HldgsRate>	[0..1]	Rate		2341

76.1.19.15 FinancialInstrument8

Definition: Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, eg, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..10]	±		1891
	Name <Nm>	[0..1]	Text		1892
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1892
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C3	1892
	ClassType <ClsTp>	[0..1]	Text		1893
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1893
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1893
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1894

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

76.1.19.15.1 Identification <Id>

Presence: [1..10]

Definition: Identification of a security by an ISIN.

Identification <Id> contains one of the following elements (see [SecurityIdentification3Choice](#) on page 2907 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2908
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2908
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2908
Or	RIC <RIC>	[1..1]	IdentifierSet		2908
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2908
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2908
Or	CTA <CTA>	[1..1]	IdentifierSet		2908
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2909
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2909
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2909
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		2909
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2909
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2909
Or	Common <Cmon>	[1..1]	IdentifierSet		2909
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2910

76.1.19.15.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text](#) on page 3409

76.1.19.15.3 SupplementaryIdentification <SplmtryId>

Presence: [0..1]

Definition: Additional information about a financial instrument to help identify the instrument.

Datatype: [Max35Text](#) on page 3409

76.1.19.15.4 DenominationCurrency <DnmtnCcy>

Presence: [0..1]

Definition: Currency in which a security is issued or redenominated.

Impacted by: [C3 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyCode](#) on page 3246

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.19.15.5 ClassType <ClsTp>

Presence: [0..1]

Definition: Features of units offered by a fund. For example, a unit may have a specific load structure, eg, front end or back end, an income policy, eg, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, eg, 'Class A', 'Class 2'.

Datatype: [Max35Text on page 3409](#)

76.1.19.15.6 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, ie, ownership, of the security, eg, registered or bearer.

Datatype: [FormOfSecurity1Code on page 3281](#)

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.19.15.7 DistributionPolicy <DstrbtnPlcy>

Presence: [0..1]

Definition: Income policy relating to a class type, ie, if income is paid out or retained in the fund.

Datatype: [DistributionPolicy1Code on page 3271](#)

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

76.1.19.15.8 DualFundIndicator <DualFndInd>

Presence: [1..1]

Definition: Indicates whether the fund has two prices.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.16 FinancialInstrument57

Definition: Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.19.16.1 Identification <Id>

Presence: [1..1]

Definition: Identification of the security by an ISIN.

Identification <Id> contains one of the following elements (see [SecurityIdentification25Choice](#) on page 1928 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1928
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1929
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1929
Or	RIC <RIC>	[1..1]	IdentifierSet		1929
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1929
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1929
Or	CTA <CTA>	[1..1]	IdentifierSet		1929
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1929
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1930
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1930
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		1930
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1930
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1930
Or	Common <Cmon>	[1..1]	IdentifierSet		1930
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1930
	Identification <Id>	[1..1]	Text		1931
	IdentificationSource <IdSrc>	[1..1]	±		1931

76.1.19.16.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text](#) on page 3409

76.1.19.16.3 ShortName <ShrtNm>

Presence: [0..1]

Definition: Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

Datatype: [Max35Text](#) on page 3409

76.1.19.16.4 SupplementaryIdentification <SplmtryId>

Presence: [0..1]

Definition: Additional information about the financial instrument to help identify the instrument.

Datatype: [Max35Text](#) on page 3409

76.1.19.16.5 ClassType <ClsTp>

Presence: [0..1]

Definition: Features of units offered by the fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

Datatype: [Max35Text on page 3409](#)

76.1.19.16.6 SecuritiesForm <SciesForm>

Presence: [0..1]

Definition: Form, that is, ownership, of the security, for example, registered or bearer.

Datatype: [FormOfSecurity1Code on page 3281](#)

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.19.16.7 DistributionPolicy <DstrbtnPlcy>

Presence: [0..1]

Definition: Income policy relating to a class type, that is, if income is paid out or retained in the fund.

Datatype: [DistributionPolicy1Code on page 3271](#)

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

76.1.19.16.8 ProductGroup <PdctGrp>

Presence: [0..1]

Definition: Company specific description of a group of funds.

Datatype: [Max140Text on page 3407](#)

76.1.19.16.9 SeriesIdentification <Srsld>

Presence: [0..1]

Definition: Choice of formats for the identification of a series.

Impacted by: [C30 SeriesElementRule](#)

SeriesIdentification <SrsId> contains the following **Series1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **SeriesElementRule**

(Rule)

Either SeriesDate or SeriesName must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.19.16.9.1 SeriesDate <SrsDt>

Presence: [0..1]

Definition: Issue date of the fund series. It is typically applicable to a redemption order, subscription order confirmation or redemption order confirmation, but may be specified in the subscription order, if known.

SeriesDate <SrsDt> contains one of the following elements (see [DateFormat42Choice](#) on page 1826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	YearMonth <YrMnth>	[1..1]	YearMonth		1826
Or}	YearMonthDay <YrMnthDay>	[1..1]	Date		1826

76.1.19.16.9.2 SeriesName <SrsNm>

Presence: [0..1]

Definition: Name of the fund series. It is typically applicable to a redemption order, subscription order confirmation or redemption order confirmation, but may be specified in the subscription, if known.

Datatype: [Max35Text](#) on page 3409

76.1.19.17 SecurityIdentification19

Definition: Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		1899
	OtherIdentification <Othrid>	[0..*]			1899
	Identification <Id>	[1..1]	Text		1899
	Suffix <Sfx>	[0..1]	Text		1900
	Type <Tp>	[1..1]	±		1900
	Description <Desc>	[0..1]	Text		1900

Constraints

- **DescriptionPresenceRule**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00192

– *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

- **ISINPresenceRule**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00194
- *Error Text:* At least one identification must be present.

• **OtherIdentificationPresenceRule**

(Rule)

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
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00193
- *Error Text:* At least one identification must be present.

76.1.19.17.1 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 3400](#)

76.1.19.17.2 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		1899
	Suffix <Sfx>	[0..1]	Text		1900
	Type <Tp>	[1..1]	±		1900

76.1.19.17.2.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security.

Datatype: [Max35Text on page 3409](#)

76.1.19.17.2.2 Suffix <Sfx>

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: [Max16Text on page 3408](#)

76.1.19.17.2.3 Type <Tp>

Presence: [1..1]

Definition: Type of the identification.

Type <Tp> contains one of the following elements (see [IdentificationSource3Choice on page 2016](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2016
Or}	Proprietary <Prtry>	[1..1]	Text		2017

76.1.19.17.3 Description <Desc>

Presence: [0..1]

Definition: Textual description of a security instrument.

Datatype: [Max140Text on page 3407](#)

76.1.19.18 SidePocketInformation2

Definition: Information that identifies a side pocket in investment fund orders.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SidePocketInclusionIndicator <SdPcktInclsInd>	[0..1]	Indicator		1900
	SidePocketIdentification <SdPcktId>	[0..1]	Text		1900
	SidePocketQuantity <SdPcktQty>	[0..1]	±		1901

76.1.19.18.1 SidePocketInclusionIndicator <SdPcktInclsInd>

Presence: [0..1]

Definition: Indicates whether the investor wants to participate in the optional side pocket.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.18.2 SidePocketIdentification <SdPcktId>

Presence: [0..1]

Definition: Identification of the side pocket.

Datatype: [Max35Text on page 3409](#)

76.1.19.18.3 SidePocketQuantity <SdPcktQty>

Presence: [0..1]

Definition: Quantity of the side pocket.

SidePocketQuantity <SdPcktQty> contains the following elements (see [SidePocketQuantityAndAmount1](#) on page 2340 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[0..1]	±		2340
	OrderedAmount <OrdrdAmt>	[0..1]	Amount	C2, C10	2341
	HoldingsRate <HldgsRate>	[0..1]	Rate		2341

76.1.19.19 SidePocketInformation1

Definition: Information that identifies a side pocket in investment fund orders.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SidePocketInclusionIndicator <SdPcktlncslnd>	[0..1]	Indicator		1901
	SidePocketIdentification <SdPcktlid>	[0..1]	Text		1901
	SidePocketQuantity <SdPcktQty>	[0..1]			1901
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1902
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C2, C10	1902
Or}	HoldingsRate <HldgsRate>	[1..1]	Rate		1903

76.1.19.19.1 SidePocketInclusionIndicator <SdPcktlncslnd>

Presence: [0..1]

Definition: Indicates whether the investor wants to participate in the optional side pocket.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.19.2 SidePocketIdentification <SdPcktlid>

Presence: [0..1]

Definition: Identification of the side pocket.

Datatype: [Max35Text](#) on page 3409

76.1.19.19.3 SidePocketQuantity <SdPcktQty>

Presence: [0..1]

Definition: Quantity of the side pocket.

SidePocketQuantity <SdPcktQty> contains one of the following **SidePocketUnitsOrAmountOrRate1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1902
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C2, C10	1902
Or}	HoldingsRate <HldgsRate>	[1..1]	Rate		1903

76.1.19.19.3.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Total quantity of units to be subscribed or redeemed in the side pocket.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.19.19.3.2 OrderedAmount <OrdrdAmt>

Presence: [1..1]

Definition: Amount of money to be invested or redeemed into the side pocket.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.19.19.3.3 HoldingsRate <HldgsRate>

Presence: [1..1]

Definition: Percentage of the financial instrument quantity to be invested or redeemed in the side pocket or lot.

Datatype: PercentageRate on page 3406

76.1.19.20 FinancialInstrument9

Definition: Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, eg, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1903
	Name <Nm>	[0..1]	Text		1904
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1904
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C3	1904
	ClassType <ClsTp>	[0..1]	Text		1905
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1905
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1905
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1906

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

76.1.19.20.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security by an ISIN.

Identification <Id> contains one of the following elements (see [SecurityIdentification3Choice](#) on page 2907 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2908
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2908
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2908
Or	RIC <RIC>	[1..1]	IdentifierSet		2908
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2908
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2908
Or	CTA <CTA>	[1..1]	IdentifierSet		2908
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2909
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2909
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2909
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		2909
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2909
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2909
Or	Common <Cmon>	[1..1]	IdentifierSet		2909
Or}	OtherProprietaryIdentification <OthrPrtryld>	[1..1]	±		2910

76.1.19.20.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text](#) on page 3409

76.1.19.20.3 SupplementaryIdentification <Splmtryld>

Presence: [0..1]

Definition: Additional information about a financial instrument to help identify the instrument.

Datatype: [Max35Text](#) on page 3409

76.1.19.20.4 RequestedNAVCurrency <ReqdNAVCcy>

Presence: [0..1]

Definition: Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

Impacted by: [C3 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyCode](#) on page 3246

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.19.20.5 ClassType <ClsTp>

Presence: [0..1]

Definition: Features of units offered by a fund. For example, a unit may have a specific load structure, eg, front end or back end, an income policy, eg, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, eg, 'Class A', 'Class 2'.

Datatype: [Max35Text on page 3409](#)

76.1.19.20.6 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, ie, ownership, of the security, eg, registered or bearer.

Datatype: [FormOfSecurity1Code on page 3281](#)

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.19.20.7 DistributionPolicy <DstrbtnPlcy>

Presence: [0..1]

Definition: Income policy relating to a class type, ie, if income is paid out or retained in the fund.

Datatype: [DistributionPolicy1Code on page 3271](#)

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

76.1.19.20.8 DualFundIndicator <DualFndInd>

Presence: [1..1]

Definition: Indicates whether the fund has two prices.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.21 FinancialInstrument6

Definition: Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, eg, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1906
	Name <Nm>	[0..1]	Text		1907
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1907
	ClassType <ClsTp>	[0..1]	Text		1907
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1907
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1908
	ProductGroup <PdctGrp>	[0..1]	Text		1908

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityIdentification1Choice.

76.1.19.21.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security by an ISIN.

Identification <Id> contains one of the following elements (see [SecurityIdentification1Choice](#) on page 1914 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1914
Or	AlternateIdentification <AltrnId>	[1..1]	±		1914
Or	RIC <RIC>	[1..1]	IdentifierSet		1914
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1915
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1915
Or	CTA <CTA>	[1..1]	IdentifierSet		1915
Or}	Common <Cmon>	[1..1]	IdentifierSet		1915

76.1.19.21.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text](#) on page 3409

76.1.19.21.3 SupplementaryIdentification <SplmtryId>

Presence: [0..1]

Definition: Additional information about a financial instrument to help identify the instrument.

Datatype: [Max35Text](#) on page 3409

76.1.19.21.4 ClassType <ClsTp>

Presence: [0..1]

Definition: Features of units offered by a fund. For example, a unit may have a specific load structure, eg, front end or back end, an income policy, eg, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, eg, 'Class A', 'Class 2'.

Datatype: [Max35Text](#) on page 3409

76.1.19.21.5 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, ie, ownership, of the security, eg, registered or bearer.

Datatype: [FormOfSecurity1Code](#) on page 3281

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.19.21.6 DistributionPolicy <DstrbtnPlcy>

Presence: [0..1]

Definition: Income policy relating to a class type, ie, if income is paid out or retained in the fund.

Datatype: [DistributionPolicy1Code on page 3271](#)

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

76.1.19.21.7 ProductGroup <PdctGrp>

Presence: [0..1]

Definition: Company specific description of a group of funds.

Datatype: [Max140Text on page 3407](#)

76.1.19.22 FinancialInstrument18

Definition: Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, eg, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <SctyId>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <OthrId>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueIdentificationDate <SrsIsseldDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <NewIsselnd>	[0..1]	Indicator		1911
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**
 (Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

76.1.19.22.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security, as assigned under a formal or proprietary identification scheme.

Identification <Id> contains the following **SecurityIdentification9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SecurityIdentification <Sctyld>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <Othrlid>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911

76.1.19.22.1.1 SecurityIdentification <Sctyld>

Presence: [1..1]

Definition: Security identifier.

SecurityIdentification <Sctyld> contains one of the following **SecurityIdentification10Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <Othrlid>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		1910

76.1.19.22.1.1.1 ISIN <ISIN>

Presence: [1..1]

Definition: International Securities Identification Number (ISIN). A numbering system designed by the United Nation's International Organisation for Standardisation (ISO). The ISIN is composed of a 2-character prefix representing the country of issue, followed by the national security number (if one exists), and a check digit. Each country has a national numbering agency that assigns ISIN numbers for securities in that country.

Datatype: [ISINIdentifier on page 3400](#)

76.1.19.22.1.1.2 OtherIdentification <Othrlid>

Presence: [1..1]

Definition: Proprietary identification of a security assigned by an institution or organisation.

OtherIdentification <Othrlid> contains the following **AlternateSecurityIdentification3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		1910

76.1.19.22.1.1.2.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of a security.

Datatype: [Max70Text on page 3410](#)

76.1.19.22.1.1.2.2 DomesticIdentificationSource <DmstldSrc>

Presence: [1..1]

Warning Either DomesticIdentificationSource or ProprietaryIdentificationSource must be present, but not both.

Definition: Country of the proprietary identification scheme.

Impacted by: [C11 Country](#)

Datatype: [CountryCode on page 3267](#)

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.19.22.1.1.2.3 ProprietaryIdentificationSource <PrtryldSrc>

Presence: [1..1]

Warning Either DomesticIdentificationSource or ProprietaryIdentificationSource must be present, but not both.

Definition: Entity that issues the proprietary identification.

Datatype: [Max35Text on page 3409](#)

76.1.19.22.1.2 Description <Desc>

Presence: [0..1]

Definition: Textual description of a security instrument.

Datatype: [Max140Text on page 3407](#)

76.1.19.22.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text on page 3409](#)

76.1.19.22.3 SeriesIssueldentificationDate <SrsIsseldDt>

Presence: [0..1]

Definition: Date that identifies the issue of a fund series. It is typically applicable to a redemption order, subscription order confirmation or redemption order confirmation, but may be specified in the subscription order, if known.

Datatype: [ISODate on page 3391](#)

76.1.19.22.4 SeriesName <SrsNm>

Presence: [0..1]

Definition: Identifies the name of a fund series. It is typically applicable to a redemption order, subscription order confirmation or redemption order confirmation, but may be specified in the subscription, if known.

Datatype: [Max35Text on page 3409](#)

76.1.19.22.5 NewIssueIndicator <NewIsselnd>

Presence: [0..1]

Definition: Indicates that the financial instrument and/or series included in the message is a new issue.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.19.22.6 SupplementaryIdentification <Splmtryld>

Presence: [0..1]

Definition: Additional information about a financial instrument to help identify the instrument.

Datatype: [Max35Text on page 3409](#)

76.1.19.23 FinancialInstrument13

Definition: Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, eg, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1912
	Name <Nm>	[0..1]	Text		1913
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1913
	ClassType <ClsTp>	[0..1]	Text		1913
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1913
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1913

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

76.1.19.23.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security by an ISIN.

Identification <Id> contains one of the following elements (see [SecurityIdentification3Choice](#) on page 2907 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2908
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2908
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2908
Or	RIC <RIC>	[1..1]	IdentifierSet		2908
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2908
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2908
Or	CTA <CTA>	[1..1]	IdentifierSet		2908
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2909
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2909
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2909
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		2909
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2909
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2909
Or	Common <Cmon>	[1..1]	IdentifierSet		2909
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2910

76.1.19.23.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text on page 3409](#)

76.1.19.23.3 SupplementaryIdentification <Splmtryld>

Presence: [0..1]

Definition: Additional information about a financial instrument to help identify the instrument.

Datatype: [Max35Text on page 3409](#)

76.1.19.23.4 ClassType <ClsTp>

Presence: [0..1]

Definition: Features of units offered by a fund. For example, a unit may have a specific load structure, eg, front end or back end, an income policy, eg, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, eg, 'Class A', 'Class 2'.

Datatype: [Max35Text on page 3409](#)

76.1.19.23.5 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, ie, ownership, of the security, eg, registered or bearer.

Datatype: [FormOfSecurity1Code on page 3281](#)

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.19.23.6 DistributionPolicy <DstrbtnPlcy>

Presence: [0..1]

Definition: Income policy relating to a class type, ie, if income is paid out or retained in the fund.

Datatype: [DistributionPolicy1Code on page 3271](#)

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

76.1.20 Financial Instrument Identification

76.1.20.1 SecurityIdentification1Choice

Definition: Choice between formats for the identification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1914
Or	AlternateIdentification <AltrnId>	[1..1]	±		1914
Or	RIC <RIC>	[1..1]	IdentifierSet		1914
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1915
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1915
Or	CTA <CTA>	[1..1]	IdentifierSet		1915
Or}	Common <Cmon>	[1..1]	IdentifierSet		1915

76.1.20.1.1 ISIN <ISIN>

Presence: [1..1]

Definition: International Securities Identification Number (ISIN). A numbering system designed by the United Nation's International Organisation for Standardisation (ISO). The ISIN is composed of a 2-character prefix representing the country of issue, followed by the national security number (if one exists), and a check digit. Each country has a national numbering agency that assigns ISIN numbers for securities in that country.

Datatype: [ISINIdentifier on page 3400](#)

76.1.20.1.2 AlternateIdentification <AltrnId>

Presence: [1..1]

Definition: Proprietary identification of a security assigned by an institution or organisation.

AlternateIdentification <AltrnId> contains the following elements (see [AlternateSecurityIdentification1 on page 2906](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2906
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	2906
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		2907

76.1.20.1.3 RIC <RIC>

Presence: [1..1]

Definition: Reuters Identification Code (RIC). A numbering system used within the Reuters system to identify instruments worldwide. The RIC contains an X-character market specific code (can be the CUSIP or EPIC codes) followed by a full stop, then the two-digit ISO country code, eg, IBM in UK is IBM.UK.

Datatype: [RICIdentifier on page 3402](#)

76.1.20.1.4 TickerSymbol <TckrSymb>

Presence: [1..1]

Definition: Letters that identify a stock traded on a stock exchange. The Ticker Symbol is a short and convenient way of identifying a stock, eg, RTR.L for Reuters quoted in London.

Datatype: [TickerIdentifier on page 3404](#)

76.1.20.1.5 Bloomberg <Blmbrg>

Presence: [1..1]

Definition: Identifier of a security assigned by the Bloomberg organisation.

Datatype: [BloombergIdentifier on page 3395](#)

76.1.20.1.6 CTA <CTA>

Presence: [1..1]

Definition: Identifier of a security assigned by the Consolidated Tape Association.

Datatype: [ConsolidatedTapeAssociationIdentifier on page 3396](#)

76.1.20.1.7 Common <Cmon>

Presence: [1..1]

Definition: Identifier of securities issued in Luxembourg. The common code is a 9-digit code that replaces the CEDEL (Clearstream) and Euroclear codes.

Datatype: [EuroclearClearstreamIdentifier on page 3397](#)

76.1.20.2 CashAsset2

Definition: Identification of a cash asset.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1915
{Or	Code <Cd>	[1..1]	CodeSet		1916
Or}	Proprietary <Prtry>	[1..1]	±		1916
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C2	1916
	AdditionalInformation <AddtlInf>	[0..1]	±		1916

76.1.20.2.1 CashAssetType <CshAsstTp>

Presence: [1..1]

Definition: Type of cash asset.

CashAssetType <CshAsstTp> contains one of the following **CashAssetType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1916
Or}	Proprietary <Prtry>	[1..1]	±		1916

76.1.20.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of cash expressed as a code.

Datatype: [CashAssetType1Code](#) on page 3254

CodeName	Name	Definition
CSH2	CashInHolding	Cash is cash in the holding not yet invested.
CSH1	CashInvestment	Cash is attributed to a cash investment.

76.1.20.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of cash expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.20.2.2 HoldingCurrency <HldgCcy>

Presence: [1..1]

Definition: Currency of the asset in the holding.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode](#) on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.20.2.3 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the cash asset.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.20.3 FinancialInstrumentIdentification3

Definition: Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1917
	Name <Nm>	[0..1]	Text		1918
	ShortName <ShrtNm>	[0..1]	Text		1918
	ClassificationType <ClssfctnTp>	[0..1]	±		1918
	RestrictedIndicator <RstrctdInd>	[0..1]	Indicator		1919
	AlternateSecurity <AltrnScty>	[0..*]		C21	1919
	Identification <Id>	[1..1]	±		1919
	Name <Nm>	[0..1]	Text		1920
	ShortName <ShrtNm>	[0..1]	Text		1920
	ClassificationType <ClssfctnTp>	[0..1]	±		1920
	AlternateSecurityType <AltrnSctyTp>	[0..1]	±		1921

Constraints

- **IdentificationGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.20.3.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.

Identification <Id> contains one of the following elements (see [SecurityIdentification25Choice](#) on page 1928 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1928
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1929
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1929
Or	RIC <RIC>	[1..1]	IdentifierSet		1929
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1929
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1929
Or	CTA <CTA>	[1..1]	IdentifierSet		1929
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1929
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1930
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1930
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		1930
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1930
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1930
Or	Common <Cmon>	[1..1]	IdentifierSet		1930
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1930
	Identification <Id>	[1..1]	Text		1931
	IdentificationSource <IdSrc>	[1..1]	±		1931

76.1.20.3.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text](#) on page 3409

76.1.20.3.3 ShortName <ShrtNm>

Presence: [0..1]

Definition: Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

Datatype: [Max35Text](#) on page 3409

76.1.20.3.4 ClassificationType <ClssfctnTp>

Presence: [0..1]

Definition: Type of security.

ClassificationType <ClssfctnTp> contains one of the following elements (see [ClassificationType32Choice](#) on page 2388 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		2388
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		2388

76.1.20.3.5 RestrictedIndicator <RstrctdInd>

Presence: [0..1]

Definition: Indicates whether the security is a restricted security.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.20.3.6 AlternateSecurity <AltrnScty>

Presence: [0..*]

Definition: Alternative security offered in place of a restricted security.

Impacted by: [C21 IdentificationGuideline](#)

AlternateSecurity <AltrnScty> contains the following **FinancialInstrumentIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1919
	Name <Nm>	[0..1]	Text		1920
	ShortName <ShrtNm>	[0..1]	Text		1920
	ClassificationType <ClssfctnTp>	[0..1]	±		1920
	AlternateSecurityType <AltrnSctyTp>	[0..1]	±		1921

Constraints

- **IdentificationGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.20.3.6.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.

Identification <Id> contains one of the following elements (see [SecurityIdentification25Choice](#) on page 1928 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1928
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1929
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1929
Or	RIC <RIC>	[1..1]	IdentifierSet		1929
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1929
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1929
Or	CTA <CTA>	[1..1]	IdentifierSet		1929
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1929
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1930
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1930
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		1930
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1930
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1930
Or	Common <Cmon>	[1..1]	IdentifierSet		1930
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1930
	Identification <Id>	[1..1]	Text		1931
	IdentificationSource <IdSrc>	[1..1]	±		1931

76.1.20.3.6.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text](#) on page 3409

76.1.20.3.6.3 ShortName <ShrtNm>

Presence: [0..1]

Definition: Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

Datatype: [Max35Text](#) on page 3409

76.1.20.3.6.4 ClassificationType <ClssfctnTp>

Presence: [0..1]

Definition: Type of security.

ClassificationType <ClssfctnTp> contains one of the following elements (see [ClassificationType32Choice](#) on page 2388 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		2388
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		2388

76.1.20.3.6.5 AlternateSecurityType <AltrnSctyTp>

Presence: [0..1]

Definition: Type of security offered in place of a restricted security, for example, common.

AlternateSecurityType <AltrnSctyTp> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.20.4 OtherAsset2

Definition: Identification of an asset.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1921
{Or	Code <Cd>	[1..1]	CodeSet		1922
Or}	Proprietary <Prtry>	[1..1]	±		1922
	Identification <Id>	[1..1]	Text		1922
	Name <Nm>	[0..1]	Text		1922
	Description <Desc>	[0..1]	Text		1923
	OtherIdentification <OthrlId>	[0..5]	Text		1923
	AdditionalInformation <AddtlInf>	[0..*]	±		1923

76.1.20.4.1 OtherAssetType <OthrAsstTp>

Presence: [1..1]

Definition: Type of asset.

OtherAssetType <OthrAsstTp> contains one of the following **OtherAsset2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1922
Or}	Proprietary <Prtry>	[1..1]	±		1922

76.1.20.4.1.1 Code <Cd>

Presence: [1..1]

Definition: Other asset type specified as a code.

Datatype: [OtherAsset2Code on page 3320](#)

CodeName	Name	Definition
DIMA	Discretionary	Asset is a discretionary investment manager account
EXIA	ExternalAccount	Asset is an external investment account.
MOVE	MovableProperty	Property that is not real estate. Also known as 'movable chattels'.
PROP	Property	Property that is real estate.
TIPP	TrusteeInvestmentPlan	Asset is a trustee investment plan (TIP).

76.1.20.4.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Other asset type specified as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.20.4.2 Identification <Id>

Presence: [1..1]

Definition: Technical identification of the asset.

Datatype: [Max35Text on page 3409](#)

76.1.20.4.3 Name <Nm>

Presence: [0..1]

Definition: Name of the asset.

Datatype: [Max35Text on page 3409](#)

76.1.20.4.4 Description <Desc>

Presence: [0..1]

Definition: Description of the asset.

Datatype: [Max35Text on page 3409](#)

76.1.20.4.5 OtherIdentification <Othrid>

Presence: [0..5]

Definition: Additional identification of the asset.

Datatype: [Max35Text on page 3409](#)

76.1.20.4.6 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the other asset.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.20.5 CashAsset3

Definition: Identification of a cash asset.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1924
{Or	Code <Cd>	[1..1]	CodeSet		1924
Or}	Proprietary <Prtry>	[1..1]	±		1924
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C2	1924
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	1925
	AdditionalInformation <AddtlInf>	[0..1]	±		1925

Constraints

- **HoldingTransferCurrencyGuideline**

(Rule)

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

Error handling:

- *Error severity:* Fatal
- *Error Code:*

– Error Text:

76.1.20.5.1 CashAssetType <CshAsstTp>

Presence: [1..1]

Definition: Type of cash asset.

CashAssetType <CshAsstTp> contains one of the following **CashAssetType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1924
Or}	Proprietary <Prtry>	[1..1]	±		1924

76.1.20.5.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of cash expressed as a code.

Datatype: [CashAssetType1Code on page 3254](#)

CodeName	Name	Definition
CSH2	CashInHolding	Cash is cash in the holding not yet invested.
CSH1	CashInvestment	Cash is attributed to a cash investment.

76.1.20.5.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of cash expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.20.5.2 HoldingCurrency <HldgCcy>

Presence: [1..1]

Definition: Currency of the asset in the holding.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode on page 3246](#)

Constraints

- **ActiveCurrency**
(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.20.5.3 TransferCurrency <TrfCcy>

Presence: [0..1]

Definition: Currency of the asset in another currency.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.20.5.4 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the cash asset.

AdditionalInformation <AddtlInf> contains the following elements (see AdditionalInformation15 on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.20.6 FinancialInstrumentIdentification2

Definition: Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1926
	Name <Nm>	[0..1]	Text		1927
	ShortName <ShrtNm>	[0..1]	Text		1927
	ClassificationType <ClssfctnTp>	[0..1]	±		1927

Constraints

- **IdentificationGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.20.6.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.

Identification <Id> contains one of the following elements (see [SecurityIdentification25Choice](#) on page 1928 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1928
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1929
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1929
Or	RIC <RIC>	[1..1]	IdentifierSet		1929
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1929
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1929
Or	CTA <CTA>	[1..1]	IdentifierSet		1929
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1929
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1930
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1930
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		1930
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1930
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1930
Or	Common <Cmon>	[1..1]	IdentifierSet		1930
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1930
	Identification <Id>	[1..1]	Text		1931
	IdentificationSource <IdSrc>	[1..1]	±		1931

76.1.20.6.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text](#) on page 3409

76.1.20.6.3 ShortName <ShrtNm>

Presence: [0..1]

Definition: Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

Datatype: [Max35Text](#) on page 3409

76.1.20.6.4 ClassificationType <ClssfctnTp>

Presence: [0..1]

Definition: Type of security.

ClassificationType <ClssfctnTp> contains one of the following elements (see [ClassificationType32Choice](#) on page 2388 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		2388
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		2388

76.1.20.7 SecurityIdentification25Choice

Definition: Choice of formats for the identification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1928
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1929
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1929
Or	RIC <RIC>	[1..1]	IdentifierSet		1929
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1929
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1929
Or	CTA <CTA>	[1..1]	IdentifierSet		1929
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1929
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1930
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1930
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		1930
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1930
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1930
Or	Common <Cmon>	[1..1]	IdentifierSet		1930
Or}	OtherProprietaryIdentification <OthrPrtryld>	[1..1]			1930
	Identification <Id>	[1..1]	Text		1931
	IdentificationSource <IdSrc>	[1..1]	±		1931

76.1.20.7.1 ISIN <ISIN>

Presence: [1..1]

Definition: International Securities Identification Number (ISIN). A numbering system designed by the United Nation's International Organisation for Standardisation (ISO). The ISIN is composed of a 2-character prefix representing the country of issue, followed by the national security number (if one exists), and a check digit. Each country has a national numbering agency that assigns ISIN numbers for securities in that country.

Datatype: [ISINOct2015Identifier](#) on page 3400

76.1.20.7.2 SEDOL <SEDOL>

Presence: [1..1]

Definition: Stock Exchange Daily Official List (SEDOL) number. A code used by the London Stock Exchange to identify foreign stocks, especially those that aren't actively traded in the US and don't have a CUSIP number.

Datatype: [SEDOLIdentifier on page 3402](#)

76.1.20.7.3 CUSIP <CUSIP>

Presence: [1..1]

Definition: Committee on Uniform Securities and Identification Procedures (CUSIP). The standards body that created and maintains the securities classification system in the US. The CUSIP is composed of a 9-character number that uniquely identifies a particular security. Non-US securities have a similar number called the CINS number.

Datatype: [CUSIPIdentifier on page 3396](#)

76.1.20.7.4 RIC <RIC>

Presence: [1..1]

Definition: Reuters Identification Code (RIC). A numbering system used within the Reuters system to identify instruments worldwide. The RIC contains an X-character market specific code (can be the CUSIP or EPIC codes) followed by a full stop, then the two-digit ISO country code, for example, IBM in UK is IBM.UK.

Datatype: [RICIdentifier on page 3402](#)

76.1.20.7.5 TickerSymbol <TckrSymb>

Presence: [1..1]

Definition: Letters that identify a stock traded on a stock exchange. The Ticker Symbol is a short and convenient way of identifying a stock, for example, RTR.L for Reuters quoted in London.

Datatype: [TickerIdentifier on page 3404](#)

76.1.20.7.6 Bloomberg <Blmbrg>

Presence: [1..1]

Definition: Identifier of a security assigned by the Bloomberg organisation.

Datatype: [Bloomberg2Identifier on page 3395](#)

76.1.20.7.7 CTA <CTA>

Presence: [1..1]

Definition: Identifier of a security assigned by the Consolidated Tape Association.

Datatype: [ConsolidatedTapeAssociationIdentifier on page 3396](#)

76.1.20.7.8 QUICK <QUICK>

Presence: [1..1]

Definition: Identifier of a security assigned by the Japanese QUICK identification scheme for financial instruments.

Datatype: [QUICKIdentifier on page 3401](#)

76.1.20.7.9 Wertpapier <Wrtppr>

Presence: [1..1]

Definition: Wertpapier Kenn-nummer. A number issued in Germany by the Wertpapier Mitteilungen. The Wertpapier Kenn-nummer, sometimes called WPK, contains 6-digits, but no check digit. There are different ranges of numbers representing different classes of securities.

Datatype: [WertpapierIdentifier on page 3404](#)

76.1.20.7.10 Dutch <Dtch>

Presence: [1..1]

Definition: Identifier for Dutch securities.

Datatype: [DutchIdentifier on page 3397](#)

76.1.20.7.11 Valoren <Vlrn>

Presence: [1..1]

Definition: Identifier for Swiss securities assigned by Telekurs Financial, the Swiss numbering agency.

Datatype: [ValorenIdentifier on page 3404](#)

76.1.20.7.12 Sicovam <SCVM>

Presence: [1..1]

Definition: Identifier for French securities assigned by the Societe Interprofessionnelle Pour La Compensation des Valeurs Mobilieres in France. The Sicovam is composed of 5-digits.

Datatype: [SicovamIdentifier on page 3402](#)

76.1.20.7.13 Belgian <Belgn>

Presence: [1..1]

Definition: Identifier for Belgian securities.

Datatype: [BelgianIdentifier on page 3393](#)

76.1.20.7.14 Common <Cmon>

Presence: [1..1]

Definition: Identifier of securities issued in Luxembourg. The common code is a 9-digit code that replaces the CEDEL (Clearstream) and Euroclear codes.

Datatype: [EuroclearClearstreamIdentifier on page 3397](#)

76.1.20.7.15 OtherProprietaryIdentification <OthrPrtryld>

Presence: [1..1]

Definition: Proprietary identification of the security assigned by an institution or organisation.

OtherProprietaryIdentification <OthrPrtryId> contains the following **AlternateSecurityIdentification7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1931
	IdentificationSource <IdSrc>	[1..1]	±		1931

76.1.20.7.15.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of a security.

Datatype: [Max35Text on page 3409](#)

76.1.20.7.15.2 IdentificationSource <IdSrc>

Presence: [1..1]

Definition: Source of the identification, that is, domestic (national) or proprietary.

IdentificationSource <IdSrc> contains one of the following elements (see [IdentificationSource1Choice on page 2017](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Domestic <Dmst>	[1..1]	CodeSet	C11	2017
Or}	Proprietary <Prtry>	[1..1]	Text		2017

76.1.21 Financial Instrument Quantity

76.1.21.1 FinancialInstrumentQuantity12Choice

Definition: Choice between ways to express the quantity of the financial instrument to be redeemed.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1931
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C3, C12	1932
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C12	1932
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C12	1933
Or	HoldingsRate <HldgsRate>	[1..1]	Rate		1934
Or}	PercentageOfTotalSubscriptionAmount <PctgOfTtlSbcptAmt>	[1..1]	Rate		1934

76.1.21.1.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Quantity of investment fund units redeemed.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.21.1.2 OrderedAmount <OrdrdAmt>

Presence: [1..1]

Definition: Amount of money used to derive the quantity of investment fund units to be sold.

Impacted by: [C3 ActiveOrHistoricCurrency](#), [C12 CurrencyAmount](#)

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.1.3 NetAmount <NetAmt>

Presence: [1..1]

Definition: Amount of money used to derive the quantity of investment fund units to be sold.

Impacted by: [C3 ActiveOrHistoricCurrency](#), [C12 CurrencyAmount](#)

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.1.4 GrossAmount <GrssAmt>

Presence: [1..1]

Definition: Amount of money used to derive the quantity of investment fund units to be sold, including all charges, commissions, and tax.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006

– *Error Text*: Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00007

– *Error Text*: Invalid currency code or too many decimal digits.

76.1.21.1.5 HoldingsRate <HldgsRate>

Presence: [1..1]

Definition: Percentage of the financial quantity to be invested or redeemed.

Datatype: PercentageRate on page 3406

76.1.21.1.6 PercentageOfTotalSubscriptionAmount <PctgOfTtlSbcptAmt>

Presence: [1..1]

Definition: Percentage of the total switch amount (buy-driven) to be invested in a particular investment fund or investment fund class.

Datatype: PercentageRate on page 3406

76.1.21.2 Unit12

Definition: Information about units to transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1935
	OrderDate <OrdrDt>	[0..1]	Date		1935
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1935
	CertificateNumber <CertNb>	[0..*]	Text		1936
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1936
	Reference <Ref>	[0..1]	Text		1936
	PriceDetails <PricDtls>	[0..1]	±		1936
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C28	1937
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1938
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1939
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1939
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1940
	IndividualFee <IndvFee>	[0..*]	±	C6	1940
	IndividualTax <IndvTax>	[0..*]	±		1942
	OtherAmount <OthrAmt>	[0..*]			1942
	Type <Tp>	[1..1]			1942
{Or	Code <Cd>	[1..1]	CodeSet		1943
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1943
	Amount <Amt>	[1..1]	Amount	C2, C10	1943

76.1.21.2.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Quantity of units.

Datatype: [DecimalNumber on page 3405](#)

76.1.21.2.2 OrderDate <OrdrDt>

Presence: [0..1]

Definition: Date the investor or its agent placed the original order.

Datatype: [ISODate on page 3391](#)

76.1.21.2.3 AcquisitionDate <AcqstnDt>

Presence: [0..1]

Definition: Date the investor purchased the financial instrument.

Datatype: [ISODate on page 3391](#)

76.1.21.2.4 CertificateNumber <CertNb>

Presence: [0..*]

Definition: Certificate representing the security that is delivered.

Datatype: [Max35Text on page 3409](#)

76.1.21.2.5 Group1Or2Units <Grp1Or2Units>

Presence: [0..1]

Definition: Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

Datatype: [UKTaxGroupUnit1Code on page 3390](#)

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

76.1.21.2.6 Reference <Ref>

Presence: [0..1]

Definition: Reference to the units number. This may be the order reference of the original acquisition, the identification of a lot, a client reference, a sub-position reference or other related reference.

Datatype: [Max35Text on page 3409](#)

76.1.21.2.7 PriceDetails <PricDtls>

Presence: [0..1]

Definition: Information related to the price. This may specify the price of original order confirmation.

PriceDetails <PricDtls> contains the following elements (see [UnitPrice23](#) on page 2837 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2837
	Value <Val>	[1..1]	±		2838
	PriceMethod <PricMtd>	[0..1]	CodeSet		2838
	AccruedInterestNAV <AcrdIntrstNAV>	[0..1]	Amount	C3, C12	2838
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2839
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2839
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2839
{Or	Code <Cd>	[1..1]	CodeSet		2840
Or}	Proprietary <Prtry>	[1..1]	±		2840

76.1.21.2.8 TransactionOverhead <TxOvrhd>

Presence: [0..1]

Definition: Fees and taxes. This may specify the fees and taxes related to the original order confirmation.

Impacted by: [C18 NonStandardsSLAReferenceRule](#), [C28 TransactionOverheadElementRule](#)

TransactionOverhead <TxOvrhd> contains the following **TotalFeesAndTaxes42** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1938
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1939
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1939
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1940
	IndividualFee <IndvFee>	[0..*]	±	C6	1940
	IndividualTax <IndvTax>	[0..*]	±		1942

Constraints

- **NonStandardsSLAReferenceRule**

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **TransactionOverheadElementRule**

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.21.2.8.1 TotalOverheadApplied <TtlOvrhdApld>

Presence: [0..1]

Definition: Total amount of overhead applied to the transaction that impacts the settlement amount.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007

- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.2.8.2 TotalFees <TtIFees>

Presence: [0..1]

Definition: Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.2.8.3 TotalTaxes <TtITaxes>

Presence: [0..1]

Definition: Total amount of taxes applied to the transaction that impacts the settlement amount.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.2.8.4 CommercialAgreementReference <ComrcIAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

76.1.21.2.8.5 IndividualFee <IndvFee>

Presence: [0..*]

Definition: Individual fee (charge/commission).

Impacted by: C6 AppliedAmountRule

IndividualFee <IndvFee> contains the following elements (see [Fee5](#) on page 1761 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1762
{Or	Code <Cd>	[1..1]	CodeSet		1762
Or}	Proprietary <Prtry>	[1..1]	±		1763
	Basis <Bsis>	[0..1]			1763
{Or	Code <Cd>	[1..1]	CodeSet		1763
Or}	Proprietary <Prtry>	[1..1]	±		1764
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1764
	StandardRate <StdRate>	[0..1]	Rate		1765
	DiscountDetails <DscntDtls>	[0..1]		C14	1765
	Amount <Amt>	[0..1]	Amount	C2, C10	1766
	Rate <Rate>	[0..1]	Rate		1767
	Basis <Bsis>	[0..1]			1767
{Or	Code <Cd>	[1..1]	CodeSet		1767
Or}	Proprietary <Prtry>	[1..1]	±		1767
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1768
	AppliedRate <ApldRate>	[0..1]	Rate		1768
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1768
	RecipientIdentification <RcptId>	[0..1]	±		1768
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1769

Constraints

• **AppliedAmountRule**

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

 /InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

 /AppliedAmount Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00400

– *Error Text:* AppliedAmount must be present.

76.1.21.2.8.6 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Individual tax.

IndividualTax <IndvTax> contains the following elements (see [Tax35](#) on page 3092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3092
{Or	Code <Cd>	[1..1]	CodeSet		3092
Or}	Proprietary <Prtry>	[1..1]	±		3094
	AppliedAmount <ApIdAmt>	[1..1]	Amount	C2, C10	3094
	AppliedRate <ApIdRate>	[0..1]	Rate		3095
	Country <Ctry>	[0..1]	CodeSet	C11	3095
	RecipientIdentification <RcptId>	[0..1]	±		3095
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3095
	Basis <Bsis>	[0..1]			3096
{Or	Code <Cd>	[1..1]	CodeSet		3096
Or}	Proprietary <Prtry>	[1..1]	±		3096
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3097

76.1.21.2.9 OtherAmount <OthrAmt>

Presence: [0..*]

Definition: Amounts not covered in price, fee or tax.

OtherAmount <OthrAmt> contains the following **OtherAmount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1942
{Or	Code <Cd>	[1..1]	CodeSet		1943
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1943
	Amount <Amt>	[1..1]	Amount	C2, C10	1943

76.1.21.2.9.1 Type <Tp>

Presence: [1..1]

Definition: Type of amount.

Type <Tp> contains one of the following **OtherAmountType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1943
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1943

76.1.21.2.9.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of amount expressed as a code.

Datatype: [OtherAmountType1Code](#) on page 3320

CodeName	Name	Definition
PINT	PrepaidInterest	Interest that was pre-paid.
SINT	SettlementInterest	Interest on the interest.

76.1.21.2.9.1.2 ProprietaryCode <PrtryCd>

Presence: [1..1]

Definition: Type of amount expressed as a proprietary code.

ProprietaryCode <PrtryCd> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.21.2.9.2 Amount <Amt>

Presence: [1..1]

Definition: Currency and amount.

Impacted by: [C2 ActiveCurrency](#), [C10 CurrencyAmount](#)

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.3 Unit11

Definition: Information about units to transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1945
	OrderDate <OrdrDt>	[0..1]	Date		1945
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1945
	CertificateNumber <CertNb>	[0..*]	Text		1946
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1946
	Reference <Ref>	[0..1]	Text		1946
	PriceDetails <PricDtls>	[0..1]	±		1946
	TransactionOverhead <TxOvrhd>	[0..1]		C17, C21	1947
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1948
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1949
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1949
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1950
	IndividualFee <IndvFee>	[0..*]	±	C6	1950
	IndividualTax <IndvTax>	[0..*]	±		1952
	OtherAmount <OthrAmt>	[0..*]			1952
	Type <Tp>	[1..1]			1952
{Or	Code <Cd>	[1..1]	CodeSet		1953
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1953
	Amount <Amt>	[1..1]	Amount	C2, C10	1953

76.1.21.3.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Quantity of units.

Datatype: [DecimalNumber on page 3405](#)

76.1.21.3.2 OrderDate <OrdrDt>

Presence: [0..1]

Definition: Date the investor or its agent placed the original order.

Datatype: [ISODate on page 3391](#)

76.1.21.3.3 AcquisitionDate <AcqstnDt>

Presence: [0..1]

Definition: Date the investor purchased the financial instrument.

Datatype: ISODate on page 3391

76.1.21.3.4 CertificateNumber <CertNb>

Presence: [0..*]

Definition: Certificate representing the security that is delivered.

Datatype: Max35Text on page 3409

76.1.21.3.5 Group1Or2Units <Grp1Or2Units>

Presence: [0..1]

Definition: Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

Datatype: UKTaxGroupUnit1Code on page 3390

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

76.1.21.3.6 Reference <Ref>

Presence: [0..1]

Definition: Reference to the units number. This may be the order reference of the original acquisition, the identification of a lot, a client reference, a sub-position reference or other related reference.

Datatype: Max35Text on page 3409

76.1.21.3.7 PriceDetails <PricDtls>

Presence: [0..1]

Definition: Information related to the price. This may specify the price of original order confirmation.

PriceDetails <PricDtls> contains the following elements (see [UnitPrice23](#) on page 2837 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2837
	Value <Val>	[1..1]	±		2838
	PriceMethod <PricMtd>	[0..1]	CodeSet		2838
	AccruedInterestNAV <AcrdIntrstNAV>	[0..1]	Amount	C3, C12	2838
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2839
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2839
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2839
{Or	Code <Cd>	[1..1]	CodeSet		2840
Or}	Proprietary <Prtry>	[1..1]	±		2840

76.1.21.3.8 TransactionOverhead <TxOvrhd>

Presence: [0..1]

Definition: Fees and taxes. This may specify the fees and taxes related to the original order confirmation.

Impacted by: [C17 NonStandardSLAReferenceRule](#), [C21 TransactionOverheadElementRule](#)

TransactionOverhead <TxOvrhd> contains the following **TotalFeesAndTaxes41** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1948
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1949
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1949
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1950
	IndividualFee <IndvFee>	[0..*]	±	C6	1950
	IndividualTax <IndvTax>	[0..*]	±		1952

Constraints

- **NonStandardSLAReferenceRule**

(Rule)

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

- **TransactionOverheadElementRule**

(Rule)

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.21.3.8.1 TotalOverheadApplied <TtlOvrhdApId>

Presence: [0..1]

Definition: Total amount of overhead applied to the transaction that impacts the settlement amount.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007

- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.3.8.2 TotalFees <TtIFees>

Presence: [0..1]

Definition: Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.3.8.3 TotalTaxes <TtITaxes>

Presence: [0..1]

Definition: Total amount of taxes applied to the transaction that impacts the settlement amount.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.3.8.4 CommercialAgreementReference <ComrcIAgrmtRef>

Presence: [0..1]

Definition: Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

Datatype: Max35Text on page 3409

76.1.21.3.8.5 IndividualFee <IndvFee>

Presence: [0..*]

Definition: Individual fee (charge/commission).

Impacted by: C6 AppliedAmountRule

IndividualFee <IndvFee> contains the following elements (see [Fee5](#) on page 1761 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1762
{Or	Code <Cd>	[1..1]	CodeSet		1762
Or}	Proprietary <Prtry>	[1..1]	±		1763
	Basis <Bsis>	[0..1]			1763
{Or	Code <Cd>	[1..1]	CodeSet		1763
Or}	Proprietary <Prtry>	[1..1]	±		1764
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1764
	StandardRate <StdRate>	[0..1]	Rate		1765
	DiscountDetails <DscntDtls>	[0..1]		C14	1765
	Amount <Amt>	[0..1]	Amount	C2, C10	1766
	Rate <Rate>	[0..1]	Rate		1767
	Basis <Bsis>	[0..1]			1767
{Or	Code <Cd>	[1..1]	CodeSet		1767
Or}	Proprietary <Prtry>	[1..1]	±		1767
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1768
	AppliedRate <ApldRate>	[0..1]	Rate		1768
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1768
	RecipientIdentification <Rcptld>	[0..1]	±		1768
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1769

Constraints

• **AppliedAmountRule**

(Rule)

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

 /InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

 /AppliedAmount Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00400

– *Error Text:* AppliedAmount must be present.

76.1.21.3.8.6 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Individual tax.

IndividualTax <IndvTax> contains the following elements (see [Tax35](#) on page 3092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3092
{Or	Code <Cd>	[1..1]	CodeSet		3092
Or}	Proprietary <Prtry>	[1..1]	±		3094
	AppliedAmount <ApIdAmt>	[1..1]	Amount	C2, C10	3094
	AppliedRate <ApIdRate>	[0..1]	Rate		3095
	Country <Ctry>	[0..1]	CodeSet	C11	3095
	RecipientIdentification <RcptId>	[0..1]	±		3095
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3095
	Basis <Bsis>	[0..1]			3096
{Or	Code <Cd>	[1..1]	CodeSet		3096
Or}	Proprietary <Prtry>	[1..1]	±		3096
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3097

76.1.21.3.9 OtherAmount <OthrAmt>

Presence: [0..*]

Definition: Amount not covered in the price, fee or tax.

OtherAmount <OthrAmt> contains the following **OtherAmount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1952
{Or	Code <Cd>	[1..1]	CodeSet		1953
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1953
	Amount <Amt>	[1..1]	Amount	C2, C10	1953

76.1.21.3.9.1 Type <Tp>

Presence: [1..1]

Definition: Type of amount.

Type <Tp> contains one of the following **OtherAmountType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1953
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1953

76.1.21.3.9.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of amount expressed as a code.

Datatype: [OtherAmountType1Code](#) on page 3320

CodeName	Name	Definition
PINT	PrepaidInterest	Interest that was pre-paid.
SINT	SettlementInterest	Interest on the interest.

76.1.21.3.9.1.2 ProprietaryCode <PrtryCd>

Presence: [1..1]

Definition: Type of amount expressed as a proprietary code.

ProprietaryCode <PrtryCd> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.21.3.9.2 Amount <Amt>

Presence: [1..1]

Definition: Currency and amount.

Impacted by: [C2 ActiveCurrency](#), [C10 CurrencyAmount](#)

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.4 Quantity42Choice

Definition: Total quantity of securities to be transferred, expressed in a number of units or a percentage rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		1954
Or}	TransferRate <TrfRate>	[1..1]	Rate		1954

76.1.21.4.1 TotalUnitsNumber <TtlUnitsNb>

Presence: [1..1]

Definition: Total quantity of securities to be transferred.

Datatype: DecimalNumber on page 3405

76.1.21.4.2 TransferRate <TrfRate>

Presence: [1..1]

Definition: Quantity of securities to be transferred as a percentage of the holding.

Datatype: PercentageRate on page 3406

76.1.21.5 FinancialInstrumentQuantity11Choice

Definition: Choice between ways to express the quantity of the financial instrument to be subscribed to or redeemed.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1955
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C3, C12	1955
Or}	HoldingsRate <HldgsRate>	[1..1]	Rate		1956

76.1.21.5.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Quantity of investment fund units subscribed or redeemed.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.21.5.2 OrderedAmount <OrdrdAmt>

Presence: [1..1]

Definition: Amount of money instructed for the subscription or redemption.

Impacted by: [C3 ActiveOrHistoricCurrency](#) __, [C12 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.5.3 HoldingsRate <HldgsRate>

Presence: [1..1]

Definition: Percentage of the holding redeemed.

Datatype: [PercentageRate on page 3406](#)

76.1.21.6 FinancialInstrumentQuantity10Choice

Definition: Choice between ways to express the quantity of the financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1956
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C2, C10	1956
Or}	HoldingsRate <HldgsRate>	[1..1]	Rate		1957

76.1.21.6.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Total quantity of units to be redeemed.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1 on page 2910](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.21.6.2 OrderedAmount <OrdrdAmt>

Presence: [1..1]

Definition: Amount of money instructed for the redemption.

Impacted by: [C2 ActiveCurrency](#) __, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount on page 3238](#)

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.6.3 HoldingsRate <HldgsRate>

Presence: [1..1]

Definition: Percentage of the holding to be redeemed.

Datatype: [PercentageRate on page 3406](#)

76.1.21.7 FinancialInstrumentQuantity9Choice

Definition: Choice between ways to express the quantity of the financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1957
Or}	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C2, C10	1957

76.1.21.7.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Total quantity of units to be subscribed.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1 on page 2910](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.21.7.2 OrderedAmount <OrdrdAmt>

Presence: [1..1]

Definition: Amount of money to be invested.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.8 UnitsOrAmount1Choice

Definition: Choice between an amount or number of units.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	1958
Or}	Unit <Unit>	[1..1]	Quantity		1959

76.1.21.8.1 Amount <Amt>

Presence: [1..1]

Definition: Currency and amount of the periodical payments.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.8.2 Unit <Unit>

Presence: [1..1]

Definition: Number of units to be subscribed or withdrawn.

Datatype: DecimalNumber on page 3405

76.1.21.9 FinancialInstrumentQuantity8Choice

Definition: Choice between ways to express the quantity of the financial instrument to be redeemed.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1960
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C3, C12	1960
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C12	1960
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C12	1961
Or}	HoldingsRate <HldgsRate>	[1..1]	Rate		1962

76.1.21.9.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Total quantity of securities to be settled.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.21.9.2 OrderedAmount <OrdrdAmt>

Presence: [1..1]

Definition: Amount of money used to derive the quantity of investment fund units to be sold.

Impacted by: [C3 ActiveOrHistoricCurrency](#), [C12 CurrencyAmount](#)

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.9.3 NetAmount <NetAmt>

Presence: [1..1]

Definition: Amount of money remaining after deduction of charges, commissions and taxes and used to determine the quantity of investment fund units to be subscribed.

[Quantity * Price].

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.9.4 GrossAmount <GrssAmt>

Presence: [1..1]

Definition: Amount of money to be invested in a specific financial instrument by an investor before deduction of charges, commissions and taxes and used to determine the quantity of investment fund units to be subscribed.

[(Quantity * Price) + (Charges + Commissions + Taxes)].

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.9.5 HoldingsRate <HldgsRate>

Presence: [1..1]

Definition: Percentage of the financial quantity to be invested or redeemed.

Datatype: [PercentageRate on page 3406](#)

76.1.21.10 FinancialInstrumentQuantity7Choice

Definition: Choice between ways to express the quantity of the financial instrument to be subscribed.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1962
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C3, C12	1963
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C12	1963
Or}	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C12	1964

76.1.21.10.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Quantity of investment fund units to be subscribed.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.21.10.2 OrderedAmount <OrdrdAmt>

Presence: [1..1]

Definition: Amount of money to be invested.

Impacted by: [C3 ActiveOrHistoricCurrency](#), [C12 CurrencyAmount](#)

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.10.3 NetAmount <NetAmt>

Presence: [1..1]

Definition: Amount of money remaining after deduction of charges, commissions and taxes and used to determine the quantity of investment fund units to be subscribed.

[Quantity * Price].

Impacted by: [C3 ActiveOrHistoricCurrency](#), [C12 CurrencyAmount](#)

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.10.4 GrossAmount <GrssAmt>

Presence: [1..1]

Definition: Amount of money to be invested in a specific financial instrument by an investor before deduction of charges, commissions and taxes and used to determine the quantity of investment fund units to be subscribed.

$[(\text{Quantity} * \text{Price}) + (\text{Charges} + \text{Commissions} + \text{Taxes})]$.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006

– *Error Text*: Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00007

– *Error Text*: Invalid currency code or too many decimal digits.

76.1.21.11 FinancialInstrumentQuantity3

Definition: Quantity of the financial instrument subscribed.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	±		1965
	OrderedAmount <OrdrdAmt>	[0..1]	Amount	C3, C12	1965
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1966
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C12	1967
	ExecutedAmount <ExctdAmt>	[0..1]	Amount	C2, C10	1968
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		1968
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	1968

76.1.21.11.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Quantity of investment fund units redeemed.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.21.11.2 OrderedAmount <OrdrdAmt>

Presence: [0..1]

Definition: Amount of money to be invested.

Impacted by: C3 ActiveOrHistoricCurrency ____, C12 CurrencyAmount ____

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.11.3 NetAmount <NetAmt>

Presence: [0..1]

Definition: Amount of money as a result of the redemption after deduction of charges, commissions and taxes.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006

– *Error Text*: Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00007

– *Error Text*: Invalid currency code or too many decimal digits.

76.1.21.11.4 **GrossAmount <GrssAmt>**

Presence: [0..1]

Definition: Amount of money as a result of the redemption before deduction of charges, commissions and taxes.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00006

– *Error Text*: Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00007

– *Error Text*: Invalid currency code or too many decimal digits.

76.1.21.11.5 ExecutedAmount <ExctdAmt>

Presence: [0..1]

Definition: Amount of money as a result of the redemption.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.11.6 HoldingsRedemptionRate <HldgsRedRate>

Presence: [0..1]

Definition: Portion of the investor's holdings, in a specific investment fund/ fund class, that is redeemed.

Datatype: PercentageRate on page 3406

76.1.21.11.7 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.12 FinancialInstrumentQuantity2

Definition: Quantity of the financial instrument subscribed.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	±		1969
	OrderedAmount <OrdrdAmt>	[0..1]	Amount	C3, C12	1970
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1970
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C12	1971
	ExecutedAmount <ExctdAmt>	[0..1]	Amount	C2, C10	1972
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	1973

76.1.21.12.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Quantity of investment fund units to be subscribed.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.21.12.2 OrderedAmount <OrdrdAmt>

Presence: [0..1]

Definition: Amount of money to be invested.

Impacted by: [C3 ActiveOrHistoricCurrency](#) ____, [C12 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.12.3 NetAmount <NetAmt>

Presence: [0..1]

Definition: Amount of money invested after deduction of charges, commissions and taxes.

Impacted by: [C3 ActiveOrHistoricCurrency](#) ____, [C12 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.12.4 GrossAmount <GrssAmt>

Presence: [0..1]

Definition: Amount of money invested before deduction of charges, commissions and taxes.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006

– *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

– *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.12.5 ExecutedAmount <ExctdAmt>

Presence: [0..1]

Definition: Amount of money invested.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

– *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.12.6 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

Impacted by: C2 ActiveCurrency , C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.13 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		1973
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1974
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		1974

76.1.21.13.1 Unit <Unit>

Presence: [1..1]

Definition: Quantity expressed as a number, for example, a number of shares.

Datatype: [DecimalNumber on page 3405](#)

76.1.21.13.2 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 3241](#)

76.1.21.13.3 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 3241](#)

76.1.21.14 FinancialInstrumentQuantity13Choice

Definition: Choice between ways to express the quantity of the financial instrument to be subscribed.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	UnitsNumber <UnitsNb>	[1..1]	±		1974
Or	OrderedAmount <OrdrdAmt>	[1..1]	Amount	C3, C12	1974
Or	NetAmount <NetAmt>	[1..1]	Amount	C3, C12	1975
Or	GrossAmount <GrssAmt>	[1..1]	Amount	C3, C12	1976
Or}	PercentageOfTotalRedemptionAmount <PctgOfTtlRedAmt>	[1..1]	Rate		1977

76.1.21.14.1 UnitsNumber <UnitsNb>

Presence: [1..1]

Definition: Quantity of investment fund units to be subscribed.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1 on page 2910](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.21.14.2 OrderedAmount <OrdrdAmt>

Presence: [1..1]

Definition: Amount of money used to determine the quantity of investment fund units to be subscribed.

Impacted by: [C3 ActiveOrHistoricCurrency](#) __, [C12 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.21.14.3 NetAmount <NetAmt>

Presence: [1..1]

Definition: Amount of money used to determine the quantity of investment fund units to be subscribed.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006

– *Error Text*: Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00007

– *Error Text*: Invalid currency code or too many decimal digits.

76.1.21.14.4 GrossAmount <GrssAmt>

Presence: [1..1]

Definition: Amount of money used to determine the quantity of investment fund units to be subscribed, including all charges, commissions, and tax.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00006

– *Error Text*: Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00007

– *Error Text*: Invalid currency code or too many decimal digits.

76.1.21.14.5 PercentageOfTotalRedemptionAmount <PctgOfTtlRedAmt>

Presence: [1..1]

Definition: Percentage of the total redemption amount used for the subscription in an investment fund or investment fund class.

Datatype: [PercentageRate](#) on page 3406

76.1.22 Foreign Exchange

76.1.22.1 ForeignExchangeTerms4

Definition: Information needed to process a currency exchange or conversion.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BuyAmount <BuyAmt>	[0..1]	Amount	C2	1977
	SellAmount <SellAmt>	[0..1]	Amount	C2, C10	1978
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C28	1978
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C28	1979
	ExchangeRate <XchgRate>	[1..1]	Rate		1979
	QuotationDate <QtnDt>	[0..1]	DateTime		1979
	QuotingInstitution <QtgInstn>	[0..1]	±		1979

76.1.22.1.1 BuyAmount <BuyAmt>

Presence: [0..1]

Definition: Currency and amount bought in a foreign exchange trade. The buy amount is received by the buyer.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyAnd13DecimalAmount](#) on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

76.1.22.1.2 SellAmount <SellAmt>

Presence: [0..1]

Definition: Currency and amount sold in a foreign exchange trade. The sold amount is delivered by the buyer.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.22.1.3 UnitCurrency <UnitCcy>

Presence: [1..1]

Definition: Currency in which the rate of exchange is expressed in a currency exchange. In the example 1GBP = xxxCUR, the unit currency is GBP.

Impacted by: C28 ValidationByTable

Datatype: CurrencyCode on page 3269

Constraints

- **ValidationByTable**

(Rule)

Must be a valid currency code which is registered with the ISO 4217 Maintenance Agency, and consist of three contiguous letters.

76.1.22.1.4 QuotedCurrency <QtdCcy>

Presence: [1..1]

Definition: Currency into which the base currency is converted, in a currency exchange.

Impacted by: [C28 ValidationByTable](#)

Datatype: [CurrencyCode](#) on page 3269

Constraints

- **ValidationByTable**

(Rule)

Must be a valid currency code which is registered with the ISO 4217 Maintenance Agency, and consist of three contiguous letters.

76.1.22.1.5 ExchangeRate <XchgRate>

Presence: [1..1]

Definition: The value of one currency expressed in relation to another currency. ExchangeRate expresses the ratio between UnitCurrency and QuotedCurrency (ExchangeRate = UnitCurrency/ QuotedCurrency).

Datatype: [BaseOneRate](#) on page 3406

76.1.22.1.6 QuotationDate <QtnDt>

Presence: [0..1]

Definition: Date and time at which an exchange rate is quoted.

Datatype: [ISODateTime](#) on page 3391

76.1.22.1.7 QuotingInstitution <QtglInstn>

Presence: [0..1]

Definition: Party that proposes a foreign exchange rate.

QuotingInstitution <QtglInstn> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.22.2 ForeignExchangeTerms37

Definition: Information needed to process a currency exchange or conversion.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1980
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1981
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1981
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1982
	ExchangeRate <XchgRate>	[1..1]	Rate		1982
	QuotationDate <QtnDt>	[0..1]	DateTime		1983
	QuotingInstitution <QtgInstn>	[0..1]	±		1983

76.1.22.2.1 ToAmount <ToAmt>

Presence: [0..1]

Definition: Cash amount resulting from a foreign exchange trade.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.22.2.2 FromAmount <FrAmt>

Presence: [0..1]

Definition: Cash amount for which a foreign exchange is required.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.22.2.3 UnitCurrency <UnitCcy>

Presence: [1..1]

Definition: Currency from which the quoted currency is converted in an exchange rate calculation.

$1 \times \langle \text{UnitCcy} \rangle = \langle \text{XchgRate} \rangle \times \langle \text{QtdCcy} \rangle.$

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.22.2.4 QuotedCurrency <QtdCcy>

Presence: [1..1]

Definition: Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.22.2.5 ExchangeRate <XchgRate>

Presence: [1..1]

Definition: Factor used for the conversion of an amount from one currency into another. This reflects that amount of the quoted currency that can be purchased with one unit of the unit currency, as follows:

$1 \times \text{CUR1} = \text{nnn} \times \text{CUR2}$,

where:

CUR1 is the unit currency

CUR2 is the quoted currency

nnn is the exchange rate.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$.

Datatype: BaseOneRate on page 3406

76.1.22.2.6 QuotationDate <QtnDt>

Presence: [0..1]

Definition: Date and time at which an exchange rate is quoted.

Datatype: [ISODateTime](#) on page 3391

76.1.22.2.7 QuotingInstitution <QtgInstn>

Presence: [0..1]

Definition: Party that proposes the foreign exchange rate.

QuotingInstitution <QtgInstn> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.22.3 ForeignExchangeTerms33

Definition: Information needed to process a currency exchange or conversion.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1983
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1984
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1985
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1985
	ExchangeRate <XchgRate>	[1..1]	Rate		1986
	QuotationDate <QtnDt>	[0..1]	DateTime		1986
	QuotingInstitution <QtgInstn>	[0..1]	±		1986

76.1.22.3.1 ToAmount <ToAmt>

Presence: [0..1]

Definition: Cash amount resulting from a foreign exchange trade.

Impacted by: [C2 ActiveCurrency](#) ____, [C10 CurrencyAmount](#) ____

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.22.3.2 FromAmount <FrAmt>

Presence: [0..1]

Definition: Cash amount for which a foreign exchange is required.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.22.3.3 UnitCurrency <UnitCcy>

Presence: [1..1]

Definition: Currency from which the quoted currency is converted in an exchange rate calculation.

$1 \times \langle \text{UnitCcy} \rangle = \langle \text{XchgRate} \rangle \times \langle \text{QtdCcy} \rangle.$

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.22.3.4 QuotedCurrency <QtdCcy>

Presence: [1..1]

Definition: Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \langle \text{UnitCcy} \rangle = \langle \text{XchgRate} \rangle \times \langle \text{QtdCcy} \rangle.$

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.22.3.5 ExchangeRate <XchgRate>

Presence: [1..1]

Definition: Factor used for the conversion of an amount from one currency into another. This reflects that amount of the quoted currency that can be purchased with one unit of the unit currency, as follows:

$$1 \times \text{CUR1} = \text{nnn} \times \text{CUR2},$$

where:

CUR1 is the unit currency

CUR2 is the quoted currency

nnn is the exchange rate.

$$1 \times \langle \text{UnitCcy} \rangle = \langle \text{XchgRate} \rangle \times \langle \text{QtdCcy} \rangle.$$

Datatype: [BaseOneRate on page 3406](#)

76.1.22.3.6 QuotationDate <QtnDt>

Presence: [0..1]

Definition: Date and time at which an exchange rate is quoted.

Datatype: [ISODatetime on page 3391](#)

76.1.22.3.7 QuotingInstitution <QtgInstn>

Presence: [0..1]

Definition: Party that proposes the foreign exchange rate.

QuotingInstitution <QtgInstn> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.22.4 ForeignExchangeTerms32

Definition: Information needed to process a currency exchange or conversion.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1987
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1987
	ExchangeRate <XchgRate>	[1..1]	Rate		1988
	QuotationDate <QtnDt>	[0..1]	DateTime		1988
	QuotingInstitution <QtgInstn>	[0..1]	±		1988

76.1.22.4.1 UnitCurrency <UnitCcy>

Presence: [1..1]

Definition: Currency from which the quoted currency is converted in an exchange rate calculation.

$1 \times \text{UnitCcy} = \text{XchgRate} \times \text{QtdCcy}$.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.22.4.2 QuotedCurrency <QtdCcy>

Presence: [1..1]

Definition: Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \text{UnitCcy} = \text{XchgRate} \times \text{QtdCcy}$.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.22.4.3 ExchangeRate <XchgRate>

Presence: [1..1]

Definition: Factor used for the conversion of an amount from one currency into another. This reflects that amount of the quoted currency that can be purchased with one unit of the unit currency, as follows:

$$1 \times \text{CUR1} = \text{nnn} \times \text{CUR2},$$

where:

CUR1 is the unit currency

CUR2 is the quoted currency

nnn is the exchange rate.

$$1 \times \langle \text{UnitCcy} \rangle = \langle \text{XchgRate} \rangle \times \langle \text{QtdCcy} \rangle.$$

Datatype: [BaseOneRate on page 3406](#)

76.1.22.4.4 QuotationDate <QtnDt>

Presence: [0..1]

Definition: Date and time at which an exchange rate is quoted.

Datatype: [ISODateTime on page 3391](#)

76.1.22.4.5 QuotingInstitution <QtgInstn>

Presence: [0..1]

Definition: Party that proposes a foreign exchange rate.

QuotingInstitution <QtgInstn> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.22.5 ForeignExchangeTerms19

Definition: Provides information about the terms of the foreign exchange transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1989
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1989
	ExchangeRate <XchgRate>	[1..1]	Rate		1990

76.1.22.5.1 UnitCurrency <UnitCcy>

Presence: [1..1]

Definition: Currency in which the rate of exchange is expressed in a currency exchange. In the example 1GBP = xxxCUR, the unit currency is GBP.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.22.5.2 QuotedCurrency <QtdCcy>

Presence: [1..1]

Definition: Currency into which the base currency is converted, in a currency exchange.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.22.5.3 ExchangeRate <XchgRate>

Presence: [1..1]

Definition: Factor used for the conversion of an amount from one currency into another. This reflects the price at which one currency was bought with another currency.

Usage: ExchangeRate expresses the ratio between UnitCurrency and QuotedCurrency (ExchangeRate = UnitCurrency/QuotedCurrency).

Datatype: [BaseOneRate on page 3406](#)

76.1.22.6 ForeignExchangeTerms7

Definition: Information needed to process a currency exchange or conversion.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2	1990
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1991
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C3	1991
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C3	1992
	ExchangeRate <XchgRate>	[1..1]	Rate		1992
	QuotationDate <QtnDt>	[0..1]	DateTime		1992
	QuotingInstitution <QtgInstn>	[0..1]	±		1993

76.1.22.6.1 ToAmount <ToAmt>

Presence: [0..1]

Definition: Cash amount resulting from a foreign exchange trade.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyAnd13DecimalAmount on page 3237](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.22.6.2 FromAmount <FrAmt>

Presence: [0..1]

Definition: Cash amount for which a foreign exchange is required.

Impacted by: C2 ActiveCurrency__, C10 CurrencyAmount__

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.22.6.3 UnitCurrency <UnitCcy>

Presence: [1..1]

Definition: Currency in which the rate of exchange is expressed in a currency exchange. In the example 1GBP = xxxCUR, the unit currency is GBP.

Impacted by: C3 ActiveOrHistoricCurrency__

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.22.6.4 QuotedCurrency <QtdCcy>

Presence: [1..1]

Definition: Currency into which the base currency is converted, in a currency exchange.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.22.6.5 ExchangeRate <XchgRate>

Presence: [1..1]

Definition: The value of one currency expressed in relation to another currency. ExchangeRate expresses the ratio between UnitCurrency and QuotedCurrency (ExchangeRate = UnitCurrency/QuotedCurrency).

Datatype: BaseOneRate on page 3406

76.1.22.6.6 QuotationDate <QtnDt>

Presence: [0..1]

Definition: Date and time at which an exchange rate is quoted.

Datatype: ISODateTime on page 3391

76.1.22.6.7 QuotingInstitution <QtglInstn>

Presence: [0..1]

Definition: Party that proposes a foreign exchange rate.

QuotingInstitution <QtglInstn> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.22.7 ForeignExchangeTerms6

Definition: Information needed to process a currency exchange or conversion.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C3	1993
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C3	1994
	ExchangeRate <XchgRate>	[1..1]	Rate		1994
	QuotationDate <QtnDt>	[0..1]	DateTime		1994
	QuotingInstitution <QtglInstn>	[0..1]	±		1994

76.1.22.7.1 UnitCurrency <UnitCcy>

Presence: [1..1]

Definition: Currency in which the rate of exchange is expressed in a currency exchange. In the example 1GBP = xxxCUR, the unit currency is GBP.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006

– *Error Text:* Invalid currency code.

76.1.22.7.2 QuotedCurrency <QtdCcy>

Presence: [1..1]

Definition: Currency into which the base currency is converted, in a currency exchange.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.22.7.3 ExchangeRate <XchgRate>

Presence: [1..1]

Definition: The value of one currency expressed in relation to another currency. ExchangeRate expresses the ratio between UnitCurrency and QuotedCurrency (ExchangeRate = UnitCurrency/QuotedCurrency).

Datatype: BaseOneRate on page 3406

76.1.22.7.4 QuotationDate <QtnDt>

Presence: [0..1]

Definition: Date and time at which an exchange rate is quoted.

Datatype: ISODateTime on page 3391

76.1.22.7.5 QuotingInstitution <QtgInstn>

Presence: [0..1]

Definition: Party that proposes a foreign exchange rate.

QuotingInstitution <QtglInstn> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI/>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.23 Frequency

76.1.23.1 Frequency20Choice

Definition: Choice of formats for the frequency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1995
Or}	Proprietary <Prtry>	[1..1]	±		1996

76.1.23.1.1 Code <Cd>

Presence: [1..1]

Definition: Frequency expressed as a code.

Datatype: [EventFrequency8Code](#) on page 3277

CodeName	Name	Definition
ADHO	Adhoc	Event takes place as necessary.
YEAR	Annual	Event takes place every year or once a year.
DAIL	Daily	Event takes place every day.
FOMN	EveryFourMonths	Event takes place every four months or three times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TYEA	EveryTwoYears	Event takes place every two years.
INDA	IntraDay	Event takes place several times a day.
MNTH	Monthly	Event takes place every month or once a month.
ONDE	OnDemand	Event takes place on demand.
OVNG	Overnight	Event takes place overnight.
QUTR	Quarterly	Event takes place every three months or four times a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.

CodeName	Name	Definition
TWMN	TwiceAMonth	Event takes place two times a month.
WEEK	Weekly	Event takes place once a week.

76.1.23.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Frequency expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.23.2 Frequency22Choice

Definition: Choice of format for a frequency, for example, the frequency of delivery of a statement.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1996
Or}	Proprietary <Prtry>	[1..1]	±		1997

76.1.23.2.1 Code <Cd>

Presence: [1..1]

Definition: Frequency expressed as an ISO 20022 code.

Datatype: [EventFrequency7Code on page 3277](#)

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
ADHO	Adhoc	Event takes place as necessary.
MNTH	Monthly	Event takes place every month or once a month.
DAIL	Daily	Event takes place every day.
INDA	IntraDay	Event takes place several times a day.
WEEK	Weekly	Event takes place once a week.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.

CodeName	Name	Definition
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

76.1.23.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Frequency expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 2012 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.23.3 StatementFrequencyReason2Choice

Definition: Choice of formats for the specification of the statement frequency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1997
Or}	Proprietary <Prtry>	[1..1]	±		1998

76.1.23.3.1 Code <Cd>

Presence: [1..1]

Definition: Statement frequency expressed as a code.

Datatype: [EventFrequency9Code](#) on page 3278

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.

CodeName	Name	Definition
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.
NONE	None	Event does not take place.

76.1.23.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Statement frequency expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchemeNm>	[0..1]	Text		2015

76.1.24 Identification Information

76.1.24.1 AdditionalReference2

Definition: References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1998
	Referencelssuer <RefIssr>	[0..1]	±		1998
	MessageName <MsgNm>	[0..1]	Text		1999

76.1.24.1.1 Reference <Ref>

Presence: [1..1]

Definition: Business reference of a message assigned by the party issuing the message. This reference must be unique amongst all messages of the same name sent by the same party.

Datatype: [Max35Text](#) on page 3409

76.1.24.1.2 Referencelssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

ReferenceIssuer <RefIssr> contains one of the following elements (see [PartyIdentification1Choice](#) on page 2473 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI/>	[1..1]	IdentifierSet	C7	2473
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2474
Or}	NameAndAddress <NmAndAdr>	[1..1]			2474
	Name <Nm>	[1..1]	Text		2474
	Address <Adr>	[0..1]	±		2474

76.1.24.1.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of a message.

Datatype: [Max35Text](#) on page 3409

76.1.24.2 IdentificationSource5Choice

Definition: Choice between source of identification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	1999
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		2000

76.1.24.2.1 DomesticIdentificationSource <DmstldSrc>

Presence: [1..1]

Definition: Country of the proprietary identification scheme.

Impacted by: [C11 Country](#)

Datatype: [CountryCode](#) on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004

– *Error Text:* Invalid Country Code.

76.1.24.2.2 ProprietaryIdentificationSource <PrtryldSrc>

Presence: [1..1]

Definition: Entity that issues the proprietary identification.

Datatype: [Max35Text on page 3409](#)

76.1.24.3 AdditionalReference13

Definition: Reference to a related message or transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2000
	Referencelssuer <RefIssr>	[0..1]	±		2000
	MessageName <MsgNm>	[0..1]	Text		2000

76.1.24.3.1 Reference <Ref>

Presence: [1..1]

Definition: Message identification of a message. This reference was assigned by the party issuing the message.

Datatype: [Max35Text on page 3409](#)

76.1.24.3.2 Referencelssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

Referencelssuer <RefIssr> contains one of the following elements (see [PartyIdentification125Choice on page 2618](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <Prtryld>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.24.3.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of the message.

Datatype: [Max35Text on page 3409](#)

76.1.24.4 References64Choice

Definition: Choice of references used to reference a previous transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		2001
Or}	OtherReference <OthrRef>	[1..2]	±		2001

76.1.24.4.1 RelatedReference <RltdRef>

Presence: [1..2]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference10 on page 2002](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

76.1.24.4.2 OtherReference <OthrRef>

Presence: [1..2]

Definition: Reference to a linked proprietary message or reference of a system that was previously received.

OtherReference <OthrRef> contains the following elements (see [AdditionalReference10 on page 2002](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

76.1.24.5 AdditionalReference11

Definition: References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2001
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2002

76.1.24.5.1 Reference <Ref>

Presence: [1..1]

Definition: Reference identifying a set of messages.

Datatype: [Max35Text on page 3409](#)

76.1.24.5.2 Referencelssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

Referencelssuer <RefIssr> contains the following elements (see [PartyIdentification139 on page 2619](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.24.5.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of the message.

Datatype: [Max35Text on page 3409](#)

76.1.24.6 AdditionalReference10

Definition: Reference and reference issuer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

76.1.24.6.1 Reference <Ref>

Presence: [1..1]

Definition: Reference issued by a party to identify an instruction, transaction or a message.

Datatype: [Max35Text on page 3409](#)

76.1.24.6.2 Referencelssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

Referencelssuer <RefIssr> contains the following elements (see [PartyIdentification139 on page 2619](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.24.6.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of the message.

Datatype: [Max35Text on page 3409](#)

76.1.24.7 References62Choice

Definition: Choice of references used to reference a previous transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..2]	±		2003
Or}	OtherReference <OthrRef>	[1..2]	±		2003

76.1.24.7.1 PreviousReference <PrvsRef>

Presence: [1..2]

Definition: Reference to a linked message that was previously sent.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference8 on page 2004](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

76.1.24.7.2 OtherReference <OthrRef>

Presence: [1..2]

Definition: Reference to a linked proprietary message or reference of a system that was previously received.

OtherReference <OthrRef> contains the following elements (see [AdditionalReference8 on page 2004](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

76.1.24.8 References61Choice

Definition: Choice of references used to reference a previous transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		2004
Or}	OtherReference <OthrRef>	[1..2]	±		2004

76.1.24.8.1 RelatedReference <RltdRef>

Presence: [1..2]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference8 on page 2004](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

76.1.24.8.2 OtherReference <OthrRef>

Presence: [1..2]

Definition: Reference to a linked proprietary message or reference of a system that was previously received.

OtherReference <OthrRef> contains the following elements (see [AdditionalReference8 on page 2004](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

76.1.24.9 AdditionalReference8

Definition: References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2004
	ReferenceIssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2005

76.1.24.9.1 Reference <Ref>

Presence: [1..1]

Definition: Reference issued by a party to identify an instruction, transaction or a message.

Datatype: [Max35Text on page 3409](#)

76.1.24.9.2 Referencelssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

Referencelssuer <RefIssr> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.24.9.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of the message.

Datatype: [Max35Text on page 3409](#)

76.1.24.10 AdditionalReference9

Definition: References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2005
	Referencelssuer <RefIssr>	[0..1]	±		2005
	MessageName <MsgNm>	[0..1]	Text		2006

76.1.24.10.1 Reference <Ref>

Presence: [1..1]

Definition: Reference identifying a set of messages.

Datatype: [Max35Text on page 3409](#)

76.1.24.10.2 Referencelssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

Referencelssuer <RefIssr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.24.10.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of the message.

Datatype: [Max35Text](#) on page 3409

76.1.24.11 GenericIdentification78

Definition: Identification expressed as a proprietary type and narrative description.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2006
	Identification <Id>	[0..1]	Text		2006

76.1.24.11.1 Type <Tp>

Presence: [1..1]

Definition: Proprietary information, often a code, issued by the data source scheme issuer.

Type <Tp> contains the following elements (see [GenericIdentification30](#) on page 2012 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.24.11.2 Identification <Id>

Presence: [0..1]

Definition: Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

Datatype: [Max35Text](#) on page 3409

76.1.24.12 IdentificationType42Choice

Definition: Choice between a code and a data source scheme to specify the type of alternate identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2007
Or}	Proprietary <Prtry>	[1..1]	±		2007

76.1.24.12.1 Code <Cd>

Presence: [1..1]

Definition: Type of identification is defined using a code.

Datatype: [TypeOfIdentification1Code on page 3382](#)

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.

76.1.24.12.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of identification is defined using a data source scheme.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30 on page 2012](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.24.13 GenericIdentification82

Definition: Information related to the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2008
	Type <Tp>	[1..1]			2008
{Or	Code <Cd>	[1..1]	CodeSet		2008
Or}	Proprietary <Prtry>	[1..1]	±		2009
	Issuer <Issr>	[0..1]	Text		2009
	IssueDate <IssDt>	[0..1]	Date		2010
	ExpiryDate <XpryDt>	[0..1]	Date		2010
	State <Stat>	[0..1]	Text		2010
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2010

76.1.24.13.1 Identification <Id>

Presence: [1..1]

Definition: Name or number assigned by an entity to enable recognition of that entity.

Datatype: Max35Text on page 3409

76.1.24.13.2 Type <Tp>

Presence: [1..1]

Definition: Type of identification.

Type <Tp> contains one of the following **OtherIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2008
Or}	Proprietary <Prtry>	[1..1]	±		2009

76.1.24.13.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of identification expressed as a code.

Datatype: PartyIdentificationType7Code on page 3321

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
OTHR	Other	Another type of identification type.

CodeName	Name	Definition
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

76.1.24.13.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of identification expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.24.13.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: [Max35Text on page 3409](#)

76.1.24.13.4 IssueDate <IsseDt>

Presence: [0..1]

Definition: Date at which the identification was issued.

Datatype: [ISODate on page 3391](#)

76.1.24.13.5 ExpiryDate <XpryDt>

Presence: [0..1]

Definition: Date at which the identification expires.

Datatype: [ISODate on page 3391](#)

76.1.24.13.6 State <Stat>

Presence: [0..1]

Definition: Name of the state, county or country sub-division that issued the identification document.

Datatype: [Max70Text on page 3410](#)

76.1.24.13.7 IssuerCountry <IssrCtry>

Presence: [0..1]

Definition: Country that issued the identification document.

Impacted by: [C11 Country](#)

Datatype: [CountryCode on page 3267](#)

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.24.14 GenericIdentification81

Definition: Information related to the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2011
	IdentificationType <IdTp>	[1..1]			2011
{Or	Code <Cd>	[1..1]	CodeSet		2011
Or}	Proprietary <Prtry>	[1..1]	±		2012

76.1.24.14.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a party, such as a tax or social security identifier.

Datatype: [Max35Text on page 3409](#)

76.1.24.14.2 IdentificationType <IdTp>

Presence: [1..1]

Definition: Type of identification.

IdentificationType <IdTp> contains one of the following **OtherIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2011
Or}	Proprietary <Prtry>	[1..1]	±		2012

76.1.24.14.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of identification expressed as a code.

Datatype: [PartyIdentificationType7Code on page 3321](#)

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
OTHR	Other	Another type of identification type.
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.

CodeName	Name	Definition
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

76.1.24.14.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of identification expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.24.15 GenericIdentification30

Definition: Information related to an identification, for example, party identification or account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.24.15.1 Identification <Id>

Presence: [1..1]

Definition: Proprietary information, often a code, issued by the data source scheme issuer.

Datatype: [Exact4AlphaNumericText on page 3407](#)

76.1.24.15.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: [Max35Text on page 3409](#)

76.1.24.15.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: [Max35Text on page 3409](#)

76.1.24.16 GenericIdentification36

Definition: Identification using a proprietary scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.24.16.1 Identification <Id>

Presence: [1..1]

Definition: Proprietary information, often a code, issued by the data source scheme issuer.

Datatype: [Max35Text on page 3409](#)

76.1.24.16.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: [Max35Text on page 3409](#)

76.1.24.16.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: [Max35Text on page 3409](#)

76.1.24.17 ContactInformation1

Definition: Communication device number or electronic address used for communication.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2014
	FaxNumber <FaxNb>	[0..1]	Text		2014
	TelephoneNumber <TelNb>	[0..1]	Text		2014
	EmailAddress <EmailAdr>	[0..1]	Text		2014

76.1.24.17.1 Name <Nm>

Presence: [0..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: [Max350Text on page 3409](#)

76.1.24.17.2 FaxNumber <FaxNb>

Presence: [0..1]

Definition: Collection of information that identifies a FAX number, as defined by telecom services.

Datatype: [PhoneNumber on page 3410](#)

76.1.24.17.3 TelephoneNumber <TelNb>

Presence: [0..1]

Definition: Collection of information that identifies a phone number, as defined by telecom services.

Datatype: [PhoneNumber on page 3410](#)

76.1.24.17.4 EmailAddress <EmailAdr>

Presence: [0..1]

Definition: Address for electronic mail (e-mail).

Datatype: [Max256Text on page 3408](#)

76.1.24.18 GenericIdentification56

Definition: Proprietary information related to a balance.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2014
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015
	Balance <Bal>	[1..1]	Quantity		2015

76.1.24.18.1 Identification <Id>

Presence: [1..1]

Definition: Proprietary information, often a code, issued by the data source scheme issuer.

Datatype: [Exact4AlphaNumericText on page 3407](#)

76.1.24.18.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: [Max35Text on page 3409](#)

76.1.24.18.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: [Max35Text on page 3409](#)

76.1.24.18.4 Balance <Bal>

Presence: [1..1]

Definition: Value of the balance.

Datatype: [DecimalNumber on page 3405](#)

76.1.24.19 GenericIdentification47

Definition: Information related to an identification, for example, party identification or account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.24.19.1 Identification <Id>

Presence: [1..1]

Definition: Proprietary information, often a code, issued by the data source scheme issuer.

Datatype: [Exact4AlphaNumericText on page 3407](#)

76.1.24.19.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: [Max4AlphaNumericText on page 3409](#)

76.1.24.19.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: [Max4AlphaNumericText on page 3409](#)

76.1.24.20 SimpleIdentificationInformation

Definition: Information related to an identification, eg, party identification or account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016

76.1.24.20.1 Identification <Id>

Presence: [1..1]

Definition: Name or number assigned by an entity to enable recognition of that entity, eg, account identifier.

Datatype: [Max35Text on page 3409](#)

76.1.24.21 MessageIdentification1

Definition: Identifies a message by a unique identifier and the date and time when the message was created by the sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2016
	CreationDateTime <CreDtTm>	[1..1]	DateTime		2016

76.1.24.21.1 Identification <Id>

Presence: [1..1]

Definition: Identification of the message.

Datatype: [Max35Text on page 3409](#)

76.1.24.21.2 CreationDateTime <CreDtTm>

Presence: [1..1]

Definition: Date of creation of the message.

Datatype: [ISODateTime on page 3391](#)

76.1.24.22 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		2016
Or}	Proprietary <Prtry>	[1..1]	Text		2017

76.1.24.22.1 Code <Cd>

Presence: [1..1]

Definition: Unique and unambiguous identification source, as assigned via a pre-determined code list.

Datatype: [ExternalFinancialInstrumentIdentificationType1Code on page 3279](#)

76.1.24.22.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Unique and unambiguous identification source using a proprietary identification scheme.

Datatype: Max35Text on page 3409

76.1.24.23 IdentificationSource1Choice

Definition: Choice of proprietary or domestic identification scheme that uniquely identifies a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Domestic <Dmst>	[1..1]	CodeSet	C11	2017
Or}	Proprietary <Prtry>	[1..1]	Text		2017

76.1.24.23.1 Domestic <Dmst>

Presence: [1..1]

Definition: Country of the proprietary identification scheme.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.24.23.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Entity that issues the proprietary identification.

Datatype: Max35Text on page 3409

76.1.24.24 GenericIdentification7

Definition: Information expressed in a proprietary manner.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		2018
	Information <Inf>	[1..1]	Text		2018

76.1.24.24.1 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: [Max8Text on page 3410](#)

76.1.24.24.2 Information <Inf>

Presence: [1..1]

Definition: Proprietary information, often a code, issued by the data source scheme issuer.

Datatype: [Max35Text on page 3409](#)

76.1.24.25 GenericIdentification6

Definition: Balance expressed with a data source scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		2018
	Information <Inf>	[1..1]	Text		2018
	Balance <Bal>	[1..1]	Quantity		2018

76.1.24.25.1 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: [Max8Text on page 3410](#)

76.1.24.25.2 Information <Inf>

Presence: [1..1]

Definition: Proprietary information, often a code, issued by the data source scheme issuer.

Datatype: [Exact4AlphaNumericText on page 3407](#)

76.1.24.25.3 Balance <Bal>

Presence: [1..1]

Definition: Value of the balance.

Datatype: [Number on page 3405](#)

76.1.24.26 GenericIdentification5

Definition: Information expressed in a proprietary manner.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		2019
	Information <Inf>	[1..1]	Text		2019
	Narrative <Nrrtv>	[0..1]	Text		2019

76.1.24.26.1 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: [Max8Text on page 3410](#)

76.1.24.26.2 Information <Inf>

Presence: [1..1]

Definition: Proprietary information, often a code, issued by the data source scheme issuer.

Datatype: [Exact4AlphaNumericText on page 3407](#)

76.1.24.26.3 Narrative <Nrrtv>

Presence: [0..1]

Definition: Additional information.

Datatype: [Max35Text on page 3409](#)

76.1.24.27 GenericIdentification3

Definition: Information related to an identification, for example, party identification or account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2019
	Issuer <Issr>	[0..1]	Text		2019

76.1.24.27.1 Identification <Id>

Presence: [1..1]

Definition: Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

Datatype: [Max35Text on page 3409](#)

76.1.24.27.2 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: [Max35Text on page 3409](#)

76.1.24.28 GenericIdentification27

Definition: Information related to an identification, eg, party identification or account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2020

76.1.24.28.1 Identification <Id>

Presence: [1..1]

Definition: Identification assigned by an institution.

Datatype: [Max4AlphaNumericText on page 3409](#)

76.1.24.28.2 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Name of the identification scheme.

Datatype: [Max4AlphaNumericText on page 3409](#)

76.1.24.28.3 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: [Max4AlphaNumericText on page 3409](#)

76.1.24.29 GenericIdentification13

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		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.24.29.1 Identification <Id>

Presence: [1..1]

Definition: Identification assigned by an institution.

Datatype: [Max4AlphaNumericText on page 3409](#)

76.1.24.29.2 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Name of the identification scheme.

Datatype: [Max35Text on page 3409](#)

76.1.24.29.3 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: [Max35Text on page 3409](#)

76.1.24.30 GenericIdentification1

Definition: Information related to an identification, for example party identification or account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.24.30.1 Identification <Id>

Presence: [1..1]

Definition: Identification assigned by an institution.

Datatype: [Max35Text on page 3409](#)

76.1.24.30.2 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Name of the identification scheme.

Datatype: [Max35Text on page 3409](#)

76.1.24.30.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: [Max35Text on page 3409](#)

76.1.24.31 AdditionalReference4

Definition: References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2021
	ReferenceIssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2022

76.1.24.31.1 Reference <Ref>

Presence: [1..1]

Definition: Message identification of a message. This reference was assigned by the party issuing the message.

Datatype: [Max35Text on page 3409](#)

76.1.24.31.2 Referencelssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

Referencelssuer <RefIssr> contains one of the following elements (see [PartyIdentification2Choice on page 2493](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.24.31.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of the message.

Datatype: [Max35Text on page 3409](#)

76.1.24.32 AdditionalReference3

Definition: References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

76.1.24.32.1 Reference <Ref>

Presence: [1..1]

Definition: Business reference of a message assigned by the party issuing the message. This reference must be unique amongst all messages of the same name sent by the same party.

Datatype: [Max35Text on page 3409](#)

76.1.24.32.2 Referencelssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

ReferenceIssuer <RefIssr> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.24.32.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of a message.

Datatype: [Max35Text](#) on page 3409

76.1.25 Investment Account

76.1.25.1 InvestmentAccount13

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		2023
	AccountName <AcctNm>	[0..1]	Text		2023
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2024
	OwnerIdentification <OwnrId>	[0..*]	±		2024
	AccountServicer <AcctSvcr>	[0..1]	±		2024

76.1.25.1.1 AccountIdentification <AcctId>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

AccountIdentification <AcctId> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

76.1.25.1.2 AccountName <AcctNm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text on page 3409](#)

76.1.25.1.3 AccountDesignation <AcctDsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text on page 3409](#)

76.1.25.1.4 OwnerIdentification <Ownrld>

Presence: [0..*]

Definition: Party that legally owns the account.

OwnerIdentification <Ownrld> contains one of the following elements (see [PartyIdentification2Choice on page 2493](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.25.1.5 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

AccountServicer <AcctSvcr> contains one of the following elements (see [PartyIdentification2Choice on page 2493](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.25.2 InvestmentAccount25

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2025
	Name <Nm>	[0..1]	Text		2025
	Designation <Dsgnt>	[0..1]	Text		2025
	IntermediaryInformation <IntrmyInf>	[0..10]	±		2025
	AccountServicer <AcctSvcr>	[0..1]	±		2026

76.1.25.2.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Identification <Id> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

76.1.25.2.2 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.25.2.3 Designation <Dsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text](#) on page 3409

76.1.25.2.4 IntermediaryInformation <IntrmyInf>

Presence: [0..10]

Definition: Party that provides services relating to financial products to investors, eg, advice on products and placement of orders for the investment fund.

IntermediaryInformation <IntrmyInf> contains the following elements (see [Intermediary11](#) on page 2494 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2494
	Account <Acct>	[0..1]	±		2495
{Or	Role <Role>	[0..1]	CodeSet		2495
Or}	ExtendedRole <XtndedRole>	[0..1]	Text		2496

76.1.25.2.5 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

AccountServicer <AcctSvcr> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.25.3 SafekeepingAccount2

Definition: Safekeeping or investment account. A safekeeping account is an account on which a securities entry is made. An investment account is an account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2026
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		2027
	Name <Nm>	[0..1]	Text		2027
	Designation <Dsgnt>	[0..1]	Text		2027
	IntermediaryInformation <IntrmyInf>	[0..10]	±		2027
	AccountOwner <AcctOwnr>	[0..1]	±		2028
	AccountServicer <AcctSvcr>	[0..1]	±		2028

76.1.25.3.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Identification <Id> contains one of the following elements (see [AccountIdentificationFormatChoice](#) on page 1604 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmpIId>	[1..1]	±		1604
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1604
	Identification <Id>	[1..1]	±		1604
	Purpose <Purp>	[1..1]	CodeSet		1605
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1605

76.1.25.3.2 FungibleIndicator <Fngblnd>

Presence: [1..1]

Definition: Indicates whether the securities in the account are fungible, ie, interchangeable.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.25.3.3 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.25.3.4 Designation <Dsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text](#) on page 3409

76.1.25.3.5 IntermediaryInformation <IntrmyInf>

Presence: [0..10]

Definition: Party that provides services relating to financial products to investors, eg, advice on products and placement of orders for the investment fund.

IntermediaryInformation <IntrmyInf> contains the following elements (see [Intermediary11](#) on page 2494 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2494
	Account <Acct>	[0..1]	±		2495
{Or	Role <Role>	[0..1]	CodeSet		2495
Or}	ExtendedRole <XtndedRole>	[0..1]	Text		2496

76.1.25.3.6 AccountOwner <AcctOwnr>

Presence: [0..1]

Definition: Party that legally owns the account.

AccountOwner <AcctOwnr> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.25.3.7 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

AccountServicer <AcctSvcr> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.25.4 InvestmentAccount74

Definition: Information about a securities account and its characteristics.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2031
	AccountStatus <AcctSts>	[0..1]	±	C6, C7, C8, C9, C10, C11, C14, C15, C32	2031
	BlockedStatus <BlckdSts>	[0..1]	±		2034
	StatusDate <StsDt>	[0..1]	±		2034
	Name <Nm>	[0..1]	Text		2034
	Designation <Dsgnt>	[0..1]	Text		2035
	Type <Tp>	[0..1]	±		2035
	OwnershipType <OwnrshTp>	[0..1]	±		2035
	TaxExemption <TaxXmptn>	[0..1]	±		2035
	StatementFrequency <StmtFrqcy>	[0..1]	±		2036
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C2	2036
	Language <Lang>	[0..1]	CodeSet	C34	2036
	IncomePreference <IncmPref>	[0..1]	CodeSet		2037
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		2037
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		2037
	TaxReporting <TaxRptg>	[0..*]	±		2038
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		2039
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		2040
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		2040
	FundFamilyName <FndFmlyNm>	[0..1]	Text		2040
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±	C20	2040
	RoundingDetails <RndgDtls>	[0..1]	±		2041
	AccountServicer <AcctSvcr>	[0..1]	±		2042
	AccountUsageType <AcctUsqTp>	[0..1]	±		2042
	ForeignStatusCertification <FrqnStsCertfctn>	[0..1]	CodeSet		2042
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		2042
	TransactionChannelType <TxChanITp>	[0..1]	±		2043
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		2043
	Pledging <Pldgg>	[0..1]	CodeSet		2043

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Collateral <Coll>	[0..1]	CodeSet		2043
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		2044
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>	[0..1]	±		2044
	AccountingStatus <AcctgSts>	[0..1]	±		2044
	OpeningDate <OpngDt>	[0..1]	±		2045
	ClosingDate <ClsgDt>	[0..1]	±		2045
	NegativeIndicator <NegInd>	[0..1]	Indicator		2045
	ProcessingOrder <PrpgOrdr>	[0..1]	CodeSet		2045
	Liability <Lbilty>	[0..1]	±		2045
	InvestorProfile <InvstrPrfl>	[0..*]	±		2046
	FiscalYear <Fsclyr>	[0..1]	±		2047

Constraints

- **FinancialInstrumentDetailsGuideline**

(Guideline)

FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

- **IncomePreferenceReinvestment1Rule**

(Rule)

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

On Condition
 /IncomePreference is equal to value 'Cash'
 Following Must be True
 /ReinvestmentDetails[*] Must be absent

Error handling:

- Error severity: Fatal
- Error Code: X00326
- Error Text: ReinvestmentDetails is not allowed because IncomePreference is CASH.

- **ReinvestmentPercentage1Rule**

(Rule)

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.

Error handling:

- Error severity: Fatal
- Error Code:

- *Error Text:* Reinvestment Percentage must not be greater than 100.

76.1.25.4.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text on page 3409](#)

76.1.25.4.2 AccountStatus <AcctSts>

Presence: [0..1]

Definition: Status of the account.

Impacted by: [C6 ClosedStatus1Rule](#), [C7 ClosedStatus2Rule](#), [C8 ClosedStatus3Rule](#), [C9 ClosedStatus4Rule](#), [C10 ClosedStatus5Rule](#), [C11 ClosedStatus6Rule](#), [C14 EnabledDisabledStatus1Rule](#), [C15 EnabledDisabledStatus2Rule](#), [C32 StatusElementRule](#)

AccountStatus <AcctSts> contains the following elements (see [AccountStatus2 on page 3028](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Enabled <NblD>	[0..1]	±		3031
	Disabled <DsblD>	[0..1]	±		3031
	Pending <Pdg>	[0..1]	±		3031
	PendingOpening <PdgOpng>	[0..1]	±		3032
	Proforma <Profrm>	[0..1]	±		3032
	Closed <Clsd>	[0..1]	±		3032
	ClosurePending <ClsrPdg>	[0..1]	±		3033
	Other <Othr>	[0..*]	±		3033

Constraints

- **ClosedStatus1Rule**

(Rule)

If Closed is present then Enabled is not allowed.

On Condition

 /Closed is present

Following Must be True

 /Enabled Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00404
- *Error Text:* Enabled is not allowed when Closed is present.

- **ClosedStatus2Rule**

(Rule)

If Closed is present then Disabled is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Disabled Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00406
- *Error Text:* Disabled is not allowed when Closed is present.

- **ClosedStatus3Rule**

(Rule)

If Closed is present then Pending is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Pending Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00405
- *Error Text:* Pending is not allowed when Closed is present.

- **ClosedStatus4Rule**

(Rule)

If Closed is present then PendingOpening is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /PendingOpening Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00407
- *Error Text:* PendingOpening is not allowed when Closed is present.

- **ClosedStatus5Rule**

(Rule)

If Closed is present then Proforma is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Proforma Must be absent
```


Error handling:

- *Error severity:* Fatal
- *Error Code:* X00408
- *Error Text:* Proforma is not allowed when Closed is present.

• **ClosedStatus6Rule**

(Rule)

If Closed is present then ClosurePending is not allowed.

```
On Condition
  /Closed is absent
Following Must be True
  /ClosurePending Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00409
- *Error Text:* ClosurePending is not allowed when Closed is present.

• **EnabledDisabledStatus1Rule**

(Rule)

If Enabled is present, then Disabled is not allowed.

```
On Condition
  /Enabled is present
Following Must be True
  /Disabled Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00402
- *Error Text:* Disabled is not allowed when Enabled is present.

• **EnabledDisabledStatus2Rule**

(Rule)

If Disabled is present, then Enabled is not allowed.

```
On Condition
  /Disabled is present
Following Must be True
  /Enabled Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00403
- *Error Text:* Enabled is not allowed when Disabled is present.

• **StatusElementRule**

(Rule)

One of the elements (Enabled, Disabled, Pending, PendingOpening, Proforma, Closed, ClosurePending, Other) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.25.4.3 BlockedStatus <BlckdSts>

Presence: [0..1]

Definition: Specifies the account is blocked and other factors for the blocked account.

BlockedStatus <BlckdSts> contains one of the following elements (see [BlockedStatusReason2Choice](#) on page 3047 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3048
Or}	Reason <Rsn>	[1..*]			3048
	TransactionType <TxTp>	[1..1]			3049
{Or	Code <Cd>	[1..1]	CodeSet		3049
Or}	Proprietary <Prtry>	[1..1]	±		3050
	Blocked <Blckd>	[1..1]	Indicator		3050
	Reason <Rsn>	[0..*]			3050
{Or	Code <Cd>	[1..1]	CodeSet		3051
Or}	Proprietary <Prtry>	[1..1]	±		3051
	AdditionalInformation <AddtlInf>	[1..1]	Text		3051

76.1.25.4.4 StatusDate <StsDt>

Presence: [0..1]

Definition: Date the status is assigned.

StatusDate <StsDt> contains one of the following elements (see [DateAndDateTime1Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1825
Or}	DateTime <DtTm>	[1..1]	DateTime		1825

76.1.25.4.5 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text on page 3409](#)

76.1.25.4.6 Designation <Dsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text on page 3409](#)

76.1.25.4.7 Type <Tp>

Presence: [0..1]

Definition: Type of account.

Type <Tp> contains one of the following elements (see [AccountType2Choice on page 1591](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1591
Or}	Proprietary <Prtry>	[1..1]	±		1591

76.1.25.4.8 OwnershipType <OwnrshTp>

Presence: [0..1]

Definition: Ownership status of the account, for example, joint owners.

OwnershipType <OwnrshTp> contains one of the following elements (see [OwnershipType2Choice on page 2147](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2147
Or}	Proprietary <Prtry>	[1..1]	±		2148

76.1.25.4.9 TaxExemption <TaxXmptn>

Presence: [0..1]

Definition: Tax advantage specific to the account.

TaxExemption <TaxXmptn> contains one of the following elements (see [TaxExemptionReason2Choice on page 3125](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3129

76.1.25.4.10 StatementFrequency <StmntFrqcy>

Presence: [0..1]

Definition: Frequency at which a statement is issued.

StatementFrequency <StmntFrqcy> contains one of the following elements (see [StatementFrequencyReason2Choice](#) on page 1997 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1997
Or}	Proprietary <Prtry>	[1..1]	±		1998

76.1.25.4.11 ReferenceCurrency <RefCcy>

Presence: [0..1]

Definition: Currency chosen for reporting purposes by the account owner in agreement with the account servicer.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode](#) on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.25.4.12 Language <Lang>

Presence: [0..1]

Definition: Language for all communication concerning the account.

Impacted by: [C34 ValidationByTable](#)

Datatype: [LanguageCode](#) on page 3313

Constraints

- **ValidationByTable**

(Rule)

Must be a valid terrestrial language.

76.1.25.4.13 IncomePreference <IncMPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: IncomePreference2Code on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

76.1.25.4.14 ReinvestmentDetails <RinvstmtDtls>

Presence: [0..*]

Definition: Specifies, for income on the fund or security that is to be reinvested, parameters for the reinvestment. If the reinvestment percentage is less than one hundred percent, the remaining percentage will be invested according to the investor's or account owner's subsequent instructions.

ReinvestmentDetails <RinvstmtDtls> contains the following elements (see [Reinvestment4](#) on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	2141
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C2	2142
	ReinvestmentPercentage <RinvstmtPctg>	[1..1]	Rate		2142

76.1.25.4.15 TaxWithholdingMethod <TaxWhldgMtd>

Presence: [0..1]

Definition: Method by which the tax (withholding tax) is to be processed, that is, either withheld at source or tax information is reported to tax authorities or tax information is reported due to the provision of a tax certificate.

Datatype: TaxWithholdingMethod3Code on page 3376

CodeName	Name	Definition
MITX	MinorityInterestTax	Minority interest tax is withheld.
INVE	InvestmentCompany	Withholding tax is applied to an investment company.
ACCT	Accountant	Dividend tax is exempt according to the accountant.
EXMT	Exempt	Dividend tax is exempt.
REPT	ReportTax	Tax information is reported to the tax authorities and therefore not withheld at source.
CRTF	TaxCertificate	Tax certificate is provided by the beneficiary from its tax authority in its country of residence. Therefore, the

CodeName	Name	Definition
		obligation of withholding tax is waived and tax information will be reported to the tax authorities.
WHCO	WithholdingCorporateTax	Withholding tax is applied to a corporate.
WTHD	WithholdTax	Tax is withheld at source.
WTRE	WithholdTaxAndReport	Tax is withheld at source and the tax information is also reported to the tax authorities.

76.1.25.4.16 TaxReporting <TaxRptg>

Presence: [0..*]

Definition: Details for the reporting of tax, for example, the country of taxation.

TaxReporting <TaxRptg> contains the following elements (see [TaxReporting3](#) on page 3082 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C11	3083
	TaxRate <TaxRate>	[0..1]	Rate		3084
	TaxPayer <TaxPyer>	[0..1]	±		3084
	TaxRecipient <TaxRcpt>	[0..1]	±		3084
	CashAccountDetails <CshAcctDtls>	[0..1]			3084
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	3085
	Identification <Id>	[1..1]	±		3086
	AccountOwner <AcctOwnr>	[0..1]	±		3086
	AccountServicer <AcctSvcr>	[0..1]	±		3086
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		3087
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		3087
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		3088
	CreditDebit <CdtDbt>	[0..1]	CodeSet		3088
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			3088
{Or	Code <Cd>	[1..1]	CodeSet		3089
Or}	Proprietary <Prtry>	[1..1]	±		3089
	CashAccountPurpose <CshAcctPurp>	[0..1]			3090
{Or	Code <Cd>	[1..1]	CodeSet		3090
Or}	Proprietary <Prtry>	[1..1]	±		3090
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			3091
{Or	Code <Cd>	[1..1]	CodeSet		3091
Or}	Proprietary <Prtry>	[1..1]	±		3091
	DividendPercentage <DvddPctg>	[0..1]	Rate		3091
	Description <Desc>	[0..1]	Text		3091

76.1.25.4.17 LetterIntentDetails <LtrInttDtls>

Presence: [0..1]

Definition: Details of the letter of intent.

LetterIntentDetails <LtrInttDtls> contains the following elements (see [LetterIntent1](#) on page 2454 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LetterIntentReference <LtrInttRef>	[1..1]	Text		2454
	Amount <Amt>	[0..1]	Amount	C2	2454
	StartDate <StartDt>	[0..1]	Date		2454
	EndDate <EndDt>	[0..1]	Date		2455

76.1.25.4.18 AccumulationRightReference <AcmltnRghtRef>

Presence: [0..1]

Definition: Reference of an accumulation rights program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

Datatype: [Max35Text](#) on page 3409

76.1.25.4.19 RequiredSignatoriesNumber <ReqrdSgntriesNb>

Presence: [0..1]

Definition: Number of account owners or related parties required to authorise transactions on the account.

Datatype: [Number](#) on page 3405

76.1.25.4.20 FundFamilyName <FndFmlyNm>

Presence: [0..1]

Definition: Name of the investment fund family.

Datatype: [Max350Text](#) on page 3409

76.1.25.4.21 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..*]

Definition: Detailed information about the investment fund or security associated to the account.

Impacted by: [C20 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument87 on page 1877](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1878
	Name <Nm>	[0..1]	Text		1879
	ShortName <ShrtNm>	[0..1]	Text		1879
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1879
	ClassType <ClsTp>	[0..1]	Text		1880
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1880
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1880
	ProductGroup <PdctGrp>	[0..1]	Text		1880
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1880
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1882
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1882
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1882
	Pledging <Pldgg>	[0..1]	CodeSet		1882
	Collateral <Coll>	[0..1]	CodeSet		1883
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1883
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1883
	FundIntention <FndIntntn>	[0..1]	CodeSet		1883
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1884

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.25.4.22 RoundingDetails <RndgDtls>

Presence: [0..1]

Definition: Parameters to be applied on deal amount for orders when the amount is a fractional number.

RoundingDetails <RndgDtIs> contains the following elements (see [RoundingParameters1](#) on page 1611 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RoundingModulus <RndgMdlus>	[0..1]	Quantity		1611
	RoundingDirection <RndgDrctn>	[1..1]	CodeSet		1611

76.1.25.4.23 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

AccountServicer <AcctSvcr> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.25.4.24 AccountUsageType <AcctUsgTp>

Presence: [0..1]

Definition: Specifies the type of usage of the account.

AccountUsageType <AcctUsgTp> contains one of the following elements (see [AccountUsageType2Choice](#) on page 2146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2146
Or}	Proprietary <Prtry>	[1..1]	±		2146

76.1.25.4.25 ForeignStatusCertification <FrngStsCertfctn>

Presence: [0..1]

Definition: Specifies if documentary evidence has been provided for the foreign resident.

Datatype: [Provided1Code](#) on page 3333

CodeName	Name	Definition
NPRO	NotProvided	Not provided.
PROV	Provided	Provided.

76.1.25.4.26 AccountSignatureDateTime <AcctSgntrDtTm>

Presence: [0..1]

Definition: Date the investor or account owner signs the open account form.

AccountSignatureDateTime <AcctSgntDtTm> contains one of the following elements (see [DateAndDateTime1Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1825
Or}	DateTime <DtTm>	[1..1]	DateTime		1825

76.1.25.4.27 TransactionChannelType <TxChanITp>

Presence: [0..1]

Definition: Means by which the investor or account owner submits the open account form.

TransactionChannelType <TxChanITp> contains one of the following elements (see [TransactionChannelType1Choice](#) on page 2455 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2455
Or}	Proprietary <Prtry>	[1..1]	±		2455

76.1.25.4.28 InvestmentAccountCategory <InvstmtAcctCtgy>

Presence: [0..1]

Definition: Specifies the category of the account.

InvestmentAccountCategory <InvstmtAcctCtgy> contains one of the following elements (see [InvestmentAccountCategory1Choice](#) on page 2151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2152
Or}	Proprietary <Prtry>	[1..1]	±		2152

76.1.25.4.29 Pledging <Pldgg>

Presence: [0..1]

Definition: Specifies whether the holdings in the account are eligible for pledging.

Datatype: [Eligible1Code](#) on page 3272

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.
NELI	NotEligible	Item is not eligible.

76.1.25.4.30 Collateral <Coll>

Presence: [0..1]

Definition: Specifies whether the holdings in the account are used as collateral.

Datatype: [Collateral1Code](#) on page 3259

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

76.1.25.4.31 ThirdPartyRights <ThrdPtyRghts>

Presence: [0..1]

Definition: Details of third party rights.

ThirdPartyRights <ThrdPtyRghts> contains the following elements (see [ThirdPartyRights2](#) on page 2142 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2143
	DateTime <DtTm>	[0..1]	DateTime		2143
	Holder <Hldr>	[0..1]	±		2143
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2143
	Amount <Amt>	[0..1]	Amount	C2, C10	2143
	Description <Desc>	[0..1]	Text		2144

76.1.25.4.32 PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>

Presence: [0..1]

Definition: Functionality permitted to a third party in the actions that may be taken on an account on behalf of the investor.

PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl> contains one of the following elements (see [LevelOfControl1Choice](#) on page 2394 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2394
Or}	Proprietary <Prtry>	[1..1]	±		2395

76.1.25.4.33 AccountingStatus <AcctgSts>

Presence: [0..1]

Definition: Specifies if the account is regarded as domestic or non-domestic for reporting purposes.

AccountingStatus <AcctgSts> contains one of the following elements (see [AccountingStatus1Choice](#) on page 3052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3052
Or}	Proprietary <Prtry>	[1..1]	±		3053

76.1.25.4.34 OpeningDate <OpngDt>

Presence: [0..1]

Definition: Legal opening date for the account.

OpeningDate <OpngDt> contains one of the following elements (see [DateAndDateTime1Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1825
Or}	DateTime <DtTm>	[1..1]	DateTime		1825

76.1.25.4.35 ClosingDate <ClsgDt>

Presence: [0..1]

Definition: Legal closing date for the account.

ClosingDate <ClsgDt> contains one of the following elements (see [DateAndDateTime1Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1825
Or}	DateTime <DtTm>	[1..1]	DateTime		1825

76.1.25.4.36 NegativeIndicator <NegInd>

Presence: [0..1]

Definition: Indicates whether the account can hold a negative position in a security.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.25.4.37 ProcessingOrder <PrcgOrdr>

Presence: [0..1]

Definition: Order in which securities are moved from the account.

Datatype: [PositionEffect3Code](#) on page 3330

CodeName	Name	Definition
FIFO	Fifo	First in, first out. Results in a position obtained after having sold in priority the securities bought chronologically.
LIFO	Lifo	Last in, last out. Results in a position obtained after having sold in priority the securities bought chronologically.

76.1.25.4.38 Liability <Lbly>

Presence: [0..1]

Definition: Specifies whether the investor assumes responsibility for the liability.

Liability <Lbly> contains one of the following elements (see [Liability1Choice](#) on page 2394 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2394
Or}	Proprietary <Prtry>	[1..1]	±		2394

76.1.25.4.39 InvestorProfile <InvstrPrfl>

Presence: [0..*]

Definition: Information used to determine fees and types of operations that can be carried out on the account.

InvestorProfile <InvstrPrfl> contains the following elements (see [InvestorProfile2](#) on page 2362 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			2363
{Or	Code <Cd>	[1..1]	CodeSet		2364
Or}	Proprietary <Prtry>	[1..1]	±		2364
	Status <Sts>	[0..1]			2365
{Or	Code <Cd>	[1..1]	CodeSet		2365
Or}	Proprietary <Prtry>	[1..1]	±		2365
	Treasury <Trsr>	[0..1]			2366
	Date <Dt>	[1..1]	Date		2366
	TraderType <TradrTp>	[1..1]			2366
{Or	Code <Cd>	[1..1]	CodeSet		2366
Or}	Proprietary <Prtry>	[1..1]	±		2367
	Rate <Rate>	[1..1]	Rate		2367
	HighFrequencyTrading <HghFrqcyTradg>	[0..1]			2367
	Date <Dt>	[0..1]	Date		2367
	SettlementFrequency <SttlmFrqcy>	[0..1]			2368
{Or	Code <Cd>	[1..1]	CodeSet		2368
Or}	Proprietary <Prtry>	[1..1]	±		2368
	ConsolidationType <CnsltdnTp>	[0..1]			2368
{Or	Code <Cd>	[1..1]	CodeSet		2369
Or}	Proprietary <Prtry>	[1..1]	±		2369
	MarketMaker <MktMakr>	[0..1]			2369
	ContractPeriod <CtrctPrd>	[0..1]			2369
	FromDateTime <FrDtTm>	[1..1]	DateTime		2370
	ToDateTime <ToDtTm>	[0..1]	DateTime		2370
	Compliance <Cmplc>	[0..1]	Indicator		2370
	MaximumSpread <MaxSprd>	[0..1]	Rate		2370
	Discount <Dscnt>	[0..1]	Rate		2370

76.1.25.4.40 FiscalYear <Fsclyr>

Presence: [0..1]

Definition: Fiscal year, when not the same as the calendar year.

FiscalYear <FscIYr> contains one of the following elements (see [FiscalYear1Choice](#) on page 1826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StartDate <StartDt>	[1..1]	Date		1826
Or}	EndDate <EndDt>	[1..1]	Date		1827

76.1.25.5 InvestmentAccount73

Definition: Information about a securities account and its characteristics.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2050
	Name <Nm>	[0..1]	Text		2051
	Designation <Dsgnt>	[0..1]	Text		2051
	Type <Tp>	[0..1]	±		2051
	OwnershipType <OwnrshTp>	[1..1]	±		2051
	TaxExemption <TaxXmptn>	[0..1]	±		2051
	StatementFrequency <StmtFrqcy>	[0..1]	±		2052
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C2	2052
	Language <Lang>	[0..1]	CodeSet	C34	2052
	IncomePreference <IncmPref>	[0..1]	CodeSet		2053
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		2053
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		2053
	TaxReporting <TaxRptg>	[0..*]	±		2054
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		2055
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		2056
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		2056
	FundFamilyName <FndFmlyNm>	[0..1]	Text		2056
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±	C20	2056
	RoundingDetails <RndgDtls>	[0..1]	±		2057
	AccountServicer <AcctSvcr>	[0..1]	±		2058
	BlockedStatus <BlckdSts>	[0..1]	±		2058
	AccountUsageType <AcctUsqTp>	[0..1]	±		2059
	ForeignStatusCertification <FrqnStsCertfctn>	[0..1]	CodeSet		2059
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		2059
	TransactionChannelType <TxChanITp>	[0..1]	±		2059
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		2059
	Pledging <Pldgg>	[0..1]	CodeSet		2060
	Collateral <Coll>	[0..1]	CodeSet		2060
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		2060
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>	[0..1]	±		2061
	AccountingStatus <AcctgSts>	[0..1]	±		2061

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OpeningDate <OpngDt>	[0..1]	±		2061
	ClosingDate <ClsgDt>	[0..1]	±		2061
	NegativeIndicator <NegInd>	[0..1]	Indicator		2062
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		2062
	Liability <Lbilty>	[0..1]	±		2062
	InvestorProfile <InvstrPrfl>	[0..*]	±		2062
	FiscalYear <Fsclyr>	[0..1]	±		2063

Constraints

- **FinancialInstrumentDetailsGuideline**

(Guideline)

FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

- **IncomePreferenceReinvestment1Rule**

(Rule)

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

```
On Condition
  /IncomePreference is equal to value 'Cash'
Following Must be True
  /ReinvestmentDetails[*] Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00326
- *Error Text:* ReinvestmentDetails is not allowed because IncomePreference is CASH.

- **ReinvestmentPercentage1Rule**

(Rule)

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:* Reinvestment Percentage must not be greater 100.

76.1.25.5.1 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text on page 3409](#)

76.1.25.5.2 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text on page 3409](#)

76.1.25.5.3 Designation <Dsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text on page 3409](#)

76.1.25.5.4 Type <Tp>

Presence: [0..1]

Definition: Type of account.

Type <Tp> contains one of the following elements (see [AccountType2Choice on page 1591](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1591
Or}	Proprietary <Prtry>	[1..1]	±		1591

76.1.25.5.5 OwnershipType <OwnrshTp>

Presence: [1..1]

Definition: Ownership status of the account, for example, joint owners.

OwnershipType <OwnrshTp> contains one of the following elements (see [OwnershipType2Choice on page 2147](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2147
Or}	Proprietary <Prtry>	[1..1]	±		2148

76.1.25.5.6 TaxExemption <TaxXmptn>

Presence: [0..1]

Definition: Tax advantage specific to the account.

TaxExemption <TaxXmptn> contains one of the following elements (see [TaxExemptionReason2Choice](#) on page 3125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3129

76.1.25.5.7 StatementFrequency <StmtrFrqcy>

Presence: [0..1]

Definition: Frequency at which a statement is issued.

StatementFrequency <StmtrFrqcy> contains one of the following elements (see [StatementFrequencyReason2Choice](#) on page 1997 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1997
Or}	Proprietary <Prtry>	[1..1]	±		1998

76.1.25.5.8 ReferenceCurrency <RefCcy>

Presence: [0..1]

Definition: Currency chosen for reporting purposes by the account owner in agreement with the account servicer.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode](#) on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.25.5.9 Language <Lang>

Presence: [0..1]

Definition: Language for all communication concerning the account.

Impacted by: [C34 ValidationByTable](#)

Datatype: [LanguageCode](#) on page 3313

Constraints

- **ValidationByTable**

(Rule)

Must be a valid terrestrial language.

76.1.25.5.10 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference2Code](#) on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

76.1.25.5.11 ReinvestmentDetails <RinvstmtDtls>

Presence: [0..*]

Definition: Specifies, for income on the fund or security that is to be reinvested, parameters for the reinvestment. If the reinvestment percentage is less than one hundred percent, the remaining percentage will be invested according to the investor's or account owner's subsequent instructions.

ReinvestmentDetails <RinvstmtDtls> contains the following elements (see [Reinvestment4](#) on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	2141
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C2	2142
	ReinvestmentPercentage <RinvstmtPctg>	[1..1]	Rate		2142

76.1.25.5.12 TaxWithholdingMethod <TaxWhldgMtd>

Presence: [0..1]

Definition: Method by which the tax (withholding tax) is to be processed, that is, either withheld at source or tax information is reported to tax authorities or tax information is reported due to the provision of a tax certificate.

Datatype: [TaxWithholdingMethod3Code](#) on page 3376

CodeName	Name	Definition
MITX	MinorityInterestTax	Minority interest tax is withheld.
INVE	InvestmentCompany	Withholding tax is applied to an investment company.
ACCT	Accountant	Dividend tax is exempt according to the accountant.

CodeName	Name	Definition
EXMT	Exempt	Dividend tax is exempt.
REPT	ReportTax	Tax information is reported to the tax authorities and therefore not withheld at source.
CRTF	TaxCertificate	Tax certificate is provided by the beneficiary from its tax authority in its country of residence. Therefore, the obligation of withholding tax is waived and tax information will be reported to the tax authorities.
WHCO	WithholdingCorporateTax	Withholding tax is applied to a corporate.
WTHD	WithholdTax	Tax is withheld at source.
WTRE	WithholdTaxAndReport	Tax is withheld at source and the tax information is also reported to the tax authorities.

76.1.25.5.13 TaxReporting <TaxRptg>

Presence: [0..*]

Definition: Details for the reporting of tax, for example, the country of taxation.

TaxReporting <TaxRptg> contains the following elements (see [TaxReporting3](#) on page 3082 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C11	3083
	TaxRate <TaxRate>	[0..1]	Rate		3084
	TaxPayer <TaxPyer>	[0..1]	±		3084
	TaxRecipient <TaxRcpt>	[0..1]	±		3084
	CashAccountDetails <CshAcctDtls>	[0..1]			3084
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	3085
	Identification <Id>	[1..1]	±		3086
	AccountOwner <AcctOwnr>	[0..1]	±		3086
	AccountServicer <AcctSvcr>	[0..1]	±		3086
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		3087
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		3087
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		3088
	CreditDebit <CdtDbt>	[0..1]	CodeSet		3088
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			3088
{Or	Code <Cd>	[1..1]	CodeSet		3089
Or}	Proprietary <Prtry>	[1..1]	±		3089
	CashAccountPurpose <CshAcctPurp>	[0..1]			3090
{Or	Code <Cd>	[1..1]	CodeSet		3090
Or}	Proprietary <Prtry>	[1..1]	±		3090
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			3091
{Or	Code <Cd>	[1..1]	CodeSet		3091
Or}	Proprietary <Prtry>	[1..1]	±		3091
	DividendPercentage <DvddPctg>	[0..1]	Rate		3091
	Description <Desc>	[0..1]	Text		3091

76.1.25.5.14 LetterIntentDetails <LtrInttDtls>

Presence: [0..1]

Definition: Details of the letter of intent.

LetterIntentDetails <LtrInttDtls> contains the following elements (see [LetterIntent1](#) on page 2454 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LetterIntentReference <LtrInttRef>	[1..1]	Text		2454
	Amount <Amt>	[0..1]	Amount	C2	2454
	StartDate <StartDt>	[0..1]	Date		2454
	EndDate <EndDt>	[0..1]	Date		2455

76.1.25.5.15 AccumulationRightReference <AcmltnRghtRef>

Presence: [0..1]

Definition: Reference of an accumulation rights program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

Datatype: [Max35Text](#) on page 3409

76.1.25.5.16 RequiredSignatoriesNumber <ReqrdSgntriesNb>

Presence: [0..1]

Definition: Number of account owners or related parties required to authorise transactions on the account.

Datatype: [Number](#) on page 3405

76.1.25.5.17 FundFamilyName <FndFmlyNm>

Presence: [0..1]

Definition: Name of the investment fund family.

Datatype: [Max350Text](#) on page 3409

76.1.25.5.18 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..*]

Definition: Detailed information about the investment fund or security associated to the account.

Impacted by: [C20 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument87 on page 1877](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1878
	Name <Nm>	[0..1]	Text		1879
	ShortName <ShrtNm>	[0..1]	Text		1879
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1879
	ClassType <ClsTp>	[0..1]	Text		1880
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1880
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1880
	ProductGroup <PdctGrp>	[0..1]	Text		1880
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1880
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1882
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1882
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1882
	Pledging <Pldgg>	[0..1]	CodeSet		1882
	Collateral <Coll>	[0..1]	CodeSet		1883
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1883
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1883
	FundIntention <FndIntntn>	[0..1]	CodeSet		1883
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1884

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.25.5.19 RoundingDetails <RndgDtls>

Presence: [0..1]

Definition: Parameters to be applied on deal amount for orders when the amount is a fractional number.

RoundingDetails <RndgDtIs> contains the following elements (see [RoundingParameters1](#) on page 1611 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RoundingModulus <RndgMdlus>	[0..1]	Quantity		1611
	RoundingDirection <RndgDrctn>	[1..1]	CodeSet		1611

76.1.25.5.20 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

AccountServicer <AcctSvcr> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.25.5.21 BlockedStatus <BlckdSts>

Presence: [0..1]

Definition: Specifies the account is blocked and other factors for the blocked account.

BlockedStatus <BlckdSts> contains one of the following elements (see [BlockedStatusReason2Choice](#) on page 3047 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3048
Or}	Reason <Rsn>	[1..*]			3048
	TransactionType <TxTp>	[1..1]			3049
{Or	Code <Cd>	[1..1]	CodeSet		3049
Or}	Proprietary <Prtry>	[1..1]	±		3050
	Blocked <Blckd>	[1..1]	Indicator		3050
	Reason <Rsn>	[0..*]			3050
{Or	Code <Cd>	[1..1]	CodeSet		3051
Or}	Proprietary <Prtry>	[1..1]	±		3051
	AdditionalInformation <AddtlInf>	[1..1]	Text		3051

76.1.25.5.22 AccountUsageType <AcctUsgTp>

Presence: [0..1]

Definition: Type of usage of the account.

AccountUsageType <AcctUsgTp> contains one of the following elements (see [AccountUsageType2Choice](#) on page 2146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2146
Or}	Proprietary <Prtry>	[1..1]	±		2146

76.1.25.5.23 ForeignStatusCertification <FrgnStsCertfctn>

Presence: [0..1]

Definition: Specifies if documentary evidence has been provided for the foreign resident.

Datatype: [Provided1Code](#) on page 3333

CodeName	Name	Definition
NPRO	NotProvided	Not provided.
PROV	Provided	Provided.

76.1.25.5.24 AccountSignatureDateTime <AcctSgntrDtTm>

Presence: [0..1]

Definition: Date the investor or account owner signs the open account form.

AccountSignatureDateTime <AcctSgntrDtTm> contains one of the following elements (see [DateAndDateTime1Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1825
Or}	DateTime <DtTm>	[1..1]	DateTime		1825

76.1.25.5.25 TransactionChannelType <TxChanITp>

Presence: [0..1]

Definition: Means by which the investor or account owner submits the open account form.

TransactionChannelType <TxChanITp> contains one of the following elements (see [TransactionChannelType1Choice](#) on page 2455 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2455
Or}	Proprietary <Prtry>	[1..1]	±		2455

76.1.25.5.26 InvestmentAccountCategory <InvstmtAcctCtgy>

Presence: [0..1]

Definition: Category of the account.

InvestmentAccountCategory <InvstmtAcctCtgy> contains one of the following elements (see [InvestmentAccountCategory1Choice](#) on page 2151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2152
Or}	Proprietary <Prtry>	[1..1]	±		2152

76.1.25.5.27 Pledging <Pldgg>

Presence: [0..1]

Definition: Specifies whether the holdings in the account are eligible for pledging.

Datatype: [Eligible1Code](#) on page 3272

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.
NELI	NotEligible	Item is not eligible.

76.1.25.5.28 Collateral <Coll>

Presence: [0..1]

Definition: Specifies whether the holdings in the account are used as collateral.

Datatype: [Collateral1Code](#) on page 3259

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

76.1.25.5.29 ThirdPartyRights <ThrdPtyRights>

Presence: [0..1]

Definition: Details of third party rights.

ThirdPartyRights <ThrdPtyRights> contains the following elements (see [ThirdPartyRights2](#) on page 2142 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2143
	DateTime <DtTm>	[0..1]	DateTime		2143
	Holder <Hldr>	[0..1]	±		2143
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2143
	Amount <Amt>	[0..1]	Amount	C2, C10	2143
	Description <Desc>	[0..1]	Text		2144

76.1.25.5.30 PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>

Presence: [0..1]

Definition: Functionality permitted to a third party in the actions that may be taken on an account on behalf of the investor.

PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl> contains one of the following elements (see [LevelOfControl1Choice](#) on page 2394 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2394
Or}	Proprietary <Prtry>	[1..1]	±		2395

76.1.25.5.31 AccountingStatus <AcctgSts>

Presence: [0..1]

Definition: Specifies if the account is regarded as domestic or non-domestic for reporting purposes.

AccountingStatus <AcctgSts> contains one of the following elements (see [AccountingStatus1Choice](#) on page 3052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3052
Or}	Proprietary <Prtry>	[1..1]	±		3053

76.1.25.5.32 OpeningDate <OpngDt>

Presence: [0..1]

Definition: Legal opening date for the account.

OpeningDate <OpngDt> contains one of the following elements (see [DateAndDateTime1Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1825
Or}	DateTime <DtTm>	[1..1]	DateTime		1825

76.1.25.5.33 ClosingDate <ClsgDt>

Presence: [0..1]

Definition: Legal closing date for the account.

ClosingDate <ClsgDt> contains one of the following elements (see [DateAndDateTime1Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1825
Or}	DateTime <DtTm>	[1..1]	DateTime		1825

76.1.25.5.34 NegativeIndicator <NegInd>

Presence: [0..1]

Definition: Indicates whether the account can hold a negative position in a security.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.25.5.35 ProcessingOrder <PrcgOrdr>

Presence: [0..1]

Definition: Order in which securities are moved from the account.

Datatype: [PositionEffect3Code](#) on page 3330

CodeName	Name	Definition
FIFO	Fifo	First in, first out. Results in a position obtained after having sold in priority the securities bought chronologically.
LIFO	Lifo	Last in, last out. Results in a position obtained after having sold in priority the securities bought chronologically.

76.1.25.5.36 Liability <Lbly>

Presence: [0..1]

Definition: Specifies whether the investor assumes responsibility for the liability.

Liability <Lbly> contains one of the following elements (see [Liability1Choice](#) on page 2394 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2394
Or}	Proprietary <Prtry>	[1..1]	±		2394

76.1.25.5.37 InvestorProfile <InvstrPrfl>

Presence: [0..*]

Definition: Information used to determine fees and types of operations that can be carried out on the account.

InvestorProfile <InvstrPrfl> contains the following elements (see [InvestorProfile2](#) on page 2362 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			2363
{Or	Code <Cd>	[1..1]	CodeSet		2364
Or}	Proprietary <Prtry>	[1..1]	±		2364
	Status <Sts>	[0..1]			2365
{Or	Code <Cd>	[1..1]	CodeSet		2365
Or}	Proprietary <Prtry>	[1..1]	±		2365
	Treasury <Trsr>	[0..1]			2366
	Date <Dt>	[1..1]	Date		2366
	TraderType <TradrTp>	[1..1]			2366
{Or	Code <Cd>	[1..1]	CodeSet		2366
Or}	Proprietary <Prtry>	[1..1]	±		2367
	Rate <Rate>	[1..1]	Rate		2367
	HighFrequencyTrading <HghFrqcyTradg>	[0..1]			2367
	Date <Dt>	[0..1]	Date		2367
	SettlementFrequency <SttlmFrqcy>	[0..1]			2368
{Or	Code <Cd>	[1..1]	CodeSet		2368
Or}	Proprietary <Prtry>	[1..1]	±		2368
	ConsolidationType <CnsltdnTp>	[0..1]			2368
{Or	Code <Cd>	[1..1]	CodeSet		2369
Or}	Proprietary <Prtry>	[1..1]	±		2369
	MarketMaker <MktMakr>	[0..1]			2369
	ContractPeriod <CtrctPrd>	[0..1]			2369
	FromDateTime <FrDtTm>	[1..1]	DateTime		2370
	ToDateTime <ToDtTm>	[0..1]	DateTime		2370
	Compliance <Cmplc>	[0..1]	Indicator		2370
	MaximumSpread <MaxSprd>	[0..1]	Rate		2370
	Discount <Dscnt>	[0..1]	Rate		2370

76.1.25.5.38 FiscalYear <Fsclyr>

Presence: [0..1]

Definition: Fiscal year, when not the same as the calendar year.

FiscalYear <FscIYr> contains one of the following elements (see [FiscalYear1Choice](#) on page 1826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StartDate <StartDt>	[1..1]	Date		1826
Or}	EndDate <EndDt>	[1..1]	Date		1827

76.1.25.6 Account31

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2064
	AccountName <AcctNm>	[0..1]	Text		2064
	Designation <Dsgnt>	[0..1]	Text		2064
	Servicer <Svcr>	[0..1]	±		2064
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2065

76.1.25.6.1 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text](#) on page 3409

76.1.25.6.2 AccountName <AcctNm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.25.6.3 Designation <Dsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text](#) on page 3409

76.1.25.6.4 Servicer <Svcr>

Presence: [0..1]

Definition: Institution that maintains the records where the account is held.

Servicer <Svcr> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.25.6.5 SubAccountDetails <SubAcctDtls>

Presence: [0..1]

Definition: Sub-accounts that are grouped in a master or omnibus account.

SubAccountDetails <SubAcctDtls> contains the following elements (see [SubAccount5](#) on page 1602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1602
	Name <Nm>	[0..1]	Text		1602
	Characteristic <Chrtc>	[0..1]	Text		1602

76.1.25.7 Account28

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		2065
	AccountIdentification <Acctld>	[0..1]	Text		2066
	Designation <Dsgnt>	[0..1]	Text		2066
	AccountName <AcctNm>	[0..1]	Text		2066
	Servicer <Svcr>	[0..1]	±		2066
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2067

76.1.25.7.1 OwnerIdentification <Ownrld>

Presence: [0..1]

Definition: Party that legally owns the account.

OwnerIdentification <Ownrld> contains the following elements (see [PartyIdentification132](#) on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

76.1.25.7.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text](#) on page 3409

76.1.25.7.3 Designation <Dsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text](#) on page 3409

76.1.25.7.4 AccountName <AcctNm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.25.7.5 Servicer <Svcr>

Presence: [0..1]

Definition: Institution that maintains the records where the account is held.

Servicer <Svcr> contains the following elements (see [PartyIdentification132 on page 2602](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

76.1.25.7.6 SubAccountDetails <SubAcctDtls>

Presence: [0..1]

Definition: Sub-account of the master or omnibus account.

SubAccountDetails <SubAcctDtls> contains the following elements (see [SubAccount5 on page 1602](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1602
	Name <Nm>	[0..1]	Text		1602
	Characteristic <Chrtc>	[0..1]	Text		1602

76.1.25.8 InvestmentAccount71

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..*]	±		2068
	AccountIdentification <Acctld>	[1..1]	Text		2068
	AccountName <AcctNm>	[0..1]	Text		2068
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2069
	AccountServicer <AcctSvcr>	[0..1]	±		2069
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2069
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2069
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		2070
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2070
	IncomePreference <IncmPref>	[0..1]	CodeSet		2070
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2071
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2071
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2071

76.1.25.8.1 OwnerIdentification <Ownrld>

Presence: [0..*]

Definition: Party that legally owns the account.

OwnerIdentification <Ownrld> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.25.8.2 AccountIdentification <Acctld>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text](#) on page 3409

76.1.25.8.3 AccountName <AcctNm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.25.8.4 AccountDesignation <AcctDsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text on page 3409](#)

76.1.25.8.5 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Institution that maintains the records where the account is held.

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification139 on page 2619](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.25.8.6 SubAccountDetails <SubAcctDtls>

Presence: [0..1]

Definition: Sub-account of the master or omnibus account.

SubAccountDetails <SubAcctDtls> contains the following elements (see [SubAccount5 on page 1602](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1602
	Name <Nm>	[0..1]	Text		1602
	Characteristic <Chrtc>	[0..1]	Text		1602

76.1.25.8.7 IntermediaryInformation <IntrmyInf>

Presence: [0..*]

Definition: Party that provides services relating to financial products to investors, for example, advice on products and placement of orders for the investment fund.

IntermediaryInformation <IntrmyInf> contains the following elements (see [Intermediary43](#) on page 2610 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2610
	Account <Acct>	[0..1]			2611
	Identification <Id>	[0..1]	Text		2611
	AccountServicer <AcctSvcr>	[1..1]	±		2611
	Role <Role>	[0..1]	±		2611
	ContactPerson <CtctPrsn>	[0..1]	±		2612

76.1.25.8.8 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, that is, ownership, of the security, that is, registered or bearer.

Datatype: [FormOfSecurity1Code](#) on page 3281

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.25.8.9 DematerialisedIndicator <DmtrlsdInd>

Presence: [0..1]

Definition: Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.25.8.10 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference2Code](#) on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

76.1.25.8.11 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

Presence: [0..1]

Definition: Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

Datatype: [BeneficiaryCertificationCompletion1Code](#) on page 3248

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

76.1.25.8.12 SafekeepingPlace <SfkpgPlc>

Presence: [0..1]

Definition: Place requested as the place of safekeeping.

SafekeepingPlace <SfkpgPlc> contains one of the following elements (see [SafekeepingPlaceFormat28Choice](#) on page 2900 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2901
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2901
	Identification <Id>	[0..1]	Text		2901
Or	Country <Ctry>	[1..1]	CodeSet	C11	2901
Or	TypeAndIdentification <TpAndId>	[1..1]			2902
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2902
	Identification <Id>	[1..1]	IdentifierSet	C1	2902
Or}	Proprietary <Prtry>	[1..1]	±		2903

76.1.25.8.13 SettlementPartiesDetails <SttlmPtiesDtls>

Presence: [0..1]

Definition: Chain of parties involved in the settlement of the transaction.

SettlementPartiesDetails <SttlmPtiesDtls> contains the following elements (see FundSettlementParameters16 on page 3168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		3169
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		3169
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		3169
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3169

76.1.25.9 InvestmentAccount70

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <OwnrId>	[0..*]	±		2072
	AccountIdentification <AcctId>	[1..1]	Text		2073
	AccountName <AcctNm>	[0..1]	Text		2073
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2073
	AccountServicer <AcctSvcr>	[0..1]	±		2073
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2073
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2074
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2074
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2074
	IncomePreference <IncmPref>	[0..1]	CodeSet		2075
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2075
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2075
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2076

76.1.25.9.1 OwnerIdentification <OwnrId>

Presence: [0..*]

Definition: Party that legally owns the account.

OwnerIdentification <Ownrld> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.25.9.2 AccountIdentification <AcctId>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text](#) on page 3409

76.1.25.9.3 AccountName <AcctNm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.25.9.4 AccountDesignation <AcctDsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text](#) on page 3409

76.1.25.9.5 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Institution that maintains the records where the account is held.

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.25.9.6 SubAccountDetails <SubAcctDtls>

Presence: [0..1]

Definition: Sub-account of the master or omnibus account.

SubAccountDetails <SubAcctDtls> contains the following elements (see [SubAccount5](#) on page 1602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1602
	Name <Nm>	[0..1]	Text		1602
	Characteristic <Chrtc>	[0..1]	Text		1602

76.1.25.9.7 IntermediaryInformation <IntrmyInf>

Presence: [0..*]

Definition: Identification of a related party or intermediary.

IntermediaryInformation <IntrmyInf> contains the following elements (see [Intermediary43](#) on page 2610 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2610
	Account <Acct>	[0..1]			2611
	Identification <Id>	[0..1]	Text		2611
	AccountServicer <AcctSvcr>	[1..1]	±		2611
	Role <Role>	[0..1]	±		2611
	ContactPerson <CtctPrsn>	[0..1]	±		2612

76.1.25.9.8 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, that is, ownership, of the security, that is, registered or bearer.

Datatype: [FormOfSecurity1Code](#) on page 3281

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.25.9.9 DematerialisedIndicator <DmtrlsdInd>

Presence: [0..1]

Definition: Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.25.9.10 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference2Code on page 3293](#)

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

76.1.25.9.11 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

Presence: [0..1]

Definition: Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

Datatype: [BeneficiaryCertificationCompletion1Code on page 3248](#)

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

76.1.25.9.12 SafekeepingPlace <SfkpgPlc>

Presence: [0..1]

Definition: Place requested as the place of safekeeping.

SafekeepingPlace <SfkpgPlc> contains one of the following elements (see [SafekeepingPlaceFormat28Choice on page 2900](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2901
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2901
	Identification <Id>	[0..1]	Text		2901
Or	Country <Ctry>	[1..1]	CodeSet	C11	2901
Or	TypeAndIdentification <TpAndId>	[1..1]			2902
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2902
	Identification <Id>	[1..1]	IdentifierSet	C1	2902
Or}	Proprietary <Prtry>	[1..1]	±		2903

76.1.25.9.13 SettlementPartiesDetails <SttlmPtiesDtls>

Presence: [0..1]

Definition: Chain of parties involved in the settlement of the transaction.

SettlementPartiesDetails <SttlmPtiesDtls> contains the following elements (see [FundSettlementParameters15](#) on page 3172 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		3172
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		3172
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		3173
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3173

76.1.25.10 InvestmentAccountOwnershipInformation17

Definition: Characteristics of the ownership of an investment account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIXmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWith>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.25.10.1 Party <Pty>

Presence: [1..1]

Definition: Information about the organisation or individual person.

Party <Pty> contains one of the following **Party48Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079

76.1.25.10.1.1 Organisation <Org>

Presence: [1..1]

Definition: Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

Impacted by: C20 OrganisationElementRule

Organisation <Org> contains the following elements (see [Organisation40](#) on page 2475 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2476
	ShortName <ShrtNm>	[0..1]	Text		2476
	Identification <Id>	[0..1]			2476
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2476
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2477
	LegalEntityIdentifier <LglnTtyIdr>	[0..1]	IdentifierSet		2477
	Purpose <Purp>	[0..1]	Text		2477
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2477
	RegistrationDate <RegnDt>	[0..1]	Date		2478
	ModifiedPostalAddress <ModfdPstlAdr>	[0..*]			2478
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2478
	PostalAddress <PstlAdr>	[1..1]	±	C23	2478
	TypeOfOrganisation <TpOfOrg>	[0..1]			2479
{Or	Code <Cd>	[1..1]	CodeSet		2480
Or}	Proprietary <Prtry>	[1..1]	±		2480
	PlaceOfListing <PlcOfListg>	[0..*]	IdentifierSet		2480

Constraints

• **OrganisationElementRule**

(Rule)

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, ModifiedPostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

76.1.25.10.1.2 IndividualPerson <IndvPrsn>

Presence: [1..1]

Definition: Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

IndividualPerson <IndvPrsn> contains the following elements (see [IndividualPerson38](#) on page 2776 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			2778
{Or	Code <Cd>	[1..1]	CodeSet		2778
Or}	Proprietary <Prtry>	[1..1]	±		2779
	GivenName <GvnNm>	[0..1]	Text		2779
	MiddleName <MddlNm>	[0..1]	Text		2779
	Name <Nm>	[1..1]	Text		2779
	NameSuffix <NmSfx>	[0..1]	Text		2779
	Gender <Gndr>	[0..1]	CodeSet		2779
	BirthDate <BirthDt>	[0..1]	Date		2780
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C11	2780
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		2780
	CityOfBirth <CityOfBirth>	[0..1]	Text		2780
	Profession <Prfssn>	[0..1]	Text		2780
	ModifiedPostalAddress <ModfdPstlAdr>	[0..*]			2780
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2781
	PostalAddress <PstlAdr>	[1..1]	±	C23	2781
	ModifiedCitizenship <ModfdCtzsh>	[0..3]			2782
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2783
	Citizenship <Ctzsh>	[1..1]			2783
	Nationality <Ntfty>	[1..1]	CodeSet	C35	2783
	MinorIndicator <MnrInd>	[1..1]	Indicator		2783
	EmployingCompany <EmplngCpny>	[0..1]	Text		2784
	BusinessFunction <BizFctn>	[0..1]	Text		2784
	PoliticallyExposedPerson <PltclyXpsdPrsn>	[0..1]		C29	2784
	PoliticallyExposedPersonType <PltclyXpsdPrsnTp>	[1..1]			2785
{Or	Code <Cd>	[1..1]	CodeSet		2785
Or}	Proprietary <Prtry>	[1..1]	±		2785
	PoliticallyExposedPersonStatus <PltclyXpsdPrsnSts>	[0..1]			2785
{Or	Code <Cd>	[1..1]	CodeSet		2786
Or}	Proprietary <Prtry>	[1..1]	±		2786

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeathDate <DthDt>	[0..1]	Date		2787
	CivilStatus <Cv/Sts>	[0..1]			2787
{Or	Code <Cd>	[1..1]	CodeSet		2787
Or}	Proprietary <Prtry>	[1..1]	±		2787
	EducationLevel <EdctnLvl>	[0..1]	Text		2788
	FamilyInformation <FmlyInf>	[0..1]			2788
	NameOfFather <NmOfFthr>	[0..1]	Text		2788
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2788
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2788
	GDPRData <GDPRData>	[0..*]			2788
	ConsentType <CnsntTp>	[1..1]			2789
{Or	Code <Cd>	[1..1]	CodeSet		2789
Or}	Proprietary <Prtry>	[1..1]	±		2790
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2790
	ConsentDate <CnsntDt>	[1..1]	Date		2790

76.1.25.10.2 MoneyLaunderingCheck <MnyLndrgChck>

Presence: [0..1]

Definition: Status of an identity check to prevent money laundering. This includes the counter-terrorism check.

MoneyLaunderingCheck <MnyLndrgChck> contains one of the following elements (see [MoneyLaunderingCheck1Choice](#) on page 2645 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2645
Or}	Proprietary <Prtry>	[1..1]	±		2646

76.1.25.10.3 ModifiedInvestorProfileValidation <ModfdInvstrPrfIVldtn>

Presence: [0..*]

Definition: Information related to the party profile to be inserted or deleted.

ModifiedInvestorProfileValidation <ModfdInvstrPrfIVldtn> contains the following **ModificationScope27** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrfIVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLv>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086

76.1.25.10.3.1 ModificationScopeIndication <ModScplIndctn>

Presence: [1..1]

Definition: Specifies the type of modification to be applied on a set of information.

Datatype: [DataModification2Code](#) on page 3270

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.1.25.10.3.2 InvestorProfileValidation <InvstrPrfIVldtn>

Presence: [1..1]

Definition: Detailed information about the party profile information.

InvestorProfileValidation <InvstrPrfIVldtn> contains the following **PartyProfileInformation5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086

76.1.25.10.3.2.1 CertificationIndicator <CertfctnInd>

Presence: [0..1]

Definition: Indicates whether the certificate type has been obtained and verified.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.25.10.3.2.2 ValidatingParty <VldtngPty>

Presence: [0..1]

Definition: Identification of the person who validated the document.

Datatype: [Max140Text](#) on page 3407

76.1.25.10.3.2.3 CheckingParty <ChckngPty>

Presence: [0..1]

Definition: Identification of the person who checked the document.

Datatype: [Max140Text](#) on page 3407

76.1.25.10.3.2.4 ResponsibleParty <RspnsblPty>

Presence: [0..1]

Definition: Identification of the person who is responsible for the document.

Datatype: [Max140Text on page 3407](#)

76.1.25.10.3.2.5 CertificateType <CertTp>

Presence: [0..1]

Definition: Type of certificate.

CertificateType <CertTp> contains one of the following elements (see [CertificationType1Choice on page 2593](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2593
Or}	Proprietary <Prtry>	[1..1]	±		2594

76.1.25.10.3.2.6 CheckingDate <ChckngDt>

Presence: [0..1]

Definition: Date at which the certification check has been performed.

Datatype: [ISODate on page 3391](#)

76.1.25.10.3.2.7 CheckingFrequency <ChckngFrqcy>

Presence: [0..1]

Definition: Specifies how frequently the check is performed.

Datatype: [EventFrequency1Code on page 3276](#)

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.

CodeName	Name	Definition
ONDE	OnDemand	Event takes place on demand.

76.1.25.10.3.2.8 NextRevisionDate <NxtRvsnDt>

Presence: [0..1]

Definition: Specifies the date at which the next certification check will be performed.

Datatype: [ISODate](#) on page 3391

76.1.25.10.3.2.9 SalaryRange <SlryRg>

Presence: [0..1]

Definition: Limits between which a person's salary is estimated.

Datatype: [Max35Text](#) on page 3409

76.1.25.10.3.2.10 SourceOfWealth <SrcOfWlth>

Presence: [0..1]

Definition: Indicates the main source of revenue.

Datatype: [Max140Text](#) on page 3407

76.1.25.10.3.2.11 CustomerConductClassification <CstmrCndctClssfctn>

Presence: [0..1]

Definition: Specifies an assessment of the customer's behaviour at the time of the account opening application.

CustomerConductClassification <CstmrCndctClssfctn> contains one of the following elements (see [CustomerConductClassification1Choice](#) on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2145
Or}	Proprietary <Prtry>	[1..1]	±		2146

76.1.25.10.3.2.12 RiskLevel <RskLvl>

Presence: [0..1]

Definition: Specifies the customer's money laundering risk.

RiskLevel <RskLvl> contains one of the following elements (see [RiskLevel2Choice](#) on page 2592 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2592
Or}	Proprietary <Prtry>	[1..1]	±		2593

76.1.25.10.3.2.13 KnowYourCustomerCheckType <KnowYourCstmrChckTp>

Presence: [0..1]

Definition: Specifies the type of due diligence checks carried out on the investor or account owner. For definitions of ordinary, simple and enhanced know your customer checks, local market regulations should be consulted.

KnowYourCustomerCheckType <KnowYourCstmrChckTp> contains one of the following elements (see [KYCCheckType1Choice](#) on page 2591 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2592
Or}	Proprietary <Prtry>	[1..1]	±		2592

76.1.25.10.3.2.14 KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>

Presence: [0..1]

Definition: Specifies whether a customer has been checked in a Know Your Customer (KYC) database.

KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck> contains the following elements (see [DataBaseCheck1](#) on page 2591 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DatabaseCheck <DBChck>	[1..1]	Indicator		2591
	Identification <Id>	[1..1]	Text		2591

76.1.25.10.4 OwnershipBeneficiaryRate <OwnrshBnfcryRate>

Presence: [0..1]

Definition: Percentage of ownership or of beneficial ownership of the shares/units in the account. All subsequent subscriptions or purchases and or redemptions or sells will be allocated using the same percentage.

Impacted by: [C25 OwnershipBeneficiaryRateRule](#)

OwnershipBeneficiaryRate <OwnrshBnfcryRate> contains the following elements (see [OwnershipBeneficiaryRate1](#) on page 2590 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Rate <Rate>	[0..1]	Rate		2591
	Fraction <Frctn>	[0..1]	Text		2591

Constraints

- **OwnershipBeneficiaryRateRule**

(Rule)

Either Rate or Fraction must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*

– *Error Text:*

76.1.25.10.5 ClientIdentification <Clntld>

Presence: [0..1]

Definition: Unique identification, as assigned by an organisation, to unambiguously identify a party.

Datatype: [Max35Text on page 3409](#)

76.1.25.10.6 FiscalExemption <FscIXmptn>

Presence: [0..1]

Definition: Indicates whether an owner of the account may benefit from a fiscal exemption or amnesty, for example, when declaring overseas investments.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.25.10.7 SignatoryRightIndicator <SgntryRghtInd>

Presence: [0..1]

Definition: Indicates whether the signature of the account owner is required to authorise transactions on the account.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.25.10.8 MiFIDClassification <MiFIDClssfctn>

Presence: [0..1]

Definition: Details about the MiFID classification of the account owner.

MiFIDClassification <MiFIDClssfctn> contains the following elements (see [MiFIDClassification1 on page 2453](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Classification <Clssfctn>	[1..1]	CodeSet		2453
	Narrative <Nrrtv>	[0..1]	Text		2453

76.1.25.10.9 Notification <Ntfctn>

Presence: [0..*]

Definition: Type of information that must be provided to the account holder.

Notification <Ntfctn> contains the following elements (see [Notification2 on page 2374](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NotificationType <NtfctnTp>	[1..1]	Text		2375
	Required <Reqrd>	[1..1]	Indicator		2375
	DistributionType <DstrbtnTp>	[0..1]	±		2375

76.1.25.10.10 FATCAFormType <FATCAFormTp>

Presence: [0..*]

Definition: Type of Foreign Account Tax Compliance Act (FATCA) form submitted by the investor or account owner.

FATCAFormType <FATCAFormTp> contains one of the following elements (see [FATCAForm1Choice on page 2404](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2404
Or}	Proprietary <Prtry>	[1..1]	±		2405

76.1.25.10.11 FATCAStatus <FATCASts>

Presence: [0..*]

Definition: Foreign Account Tax Compliance Act (FATCA) status of the investor or account owner.

FATCAStatus <FATCASts> contains the following elements (see [FATCAStatus2 on page 2587](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2588
{Or	Code <Cd>	[1..1]	CodeSet		2588
Or}	Proprietary <Prtry>	[1..1]	±		2588
	Source <Src>	[0..1]			2589
{Or	Code <Cd>	[1..1]	CodeSet		2589
Or}	Proprietary <Prtry>	[1..1]	±		2589

76.1.25.10.12 FATCAReportingDate <FATCARptgDt>

Presence: [0..1]

Definition: Date provided by the account owner to inform the account servicer of the date on which the holdings must be reported before the account is subsequently closed.

Datatype: [ISODate on page 3391](#)

76.1.25.10.13 CRSFormType <CRSFormTp>

Presence: [0..*]

Definition: Type of Common Reporting Standard (CRS) form submitted by the investor or account owner.

CRSFormType <CRSFormTp> contains one of the following elements (see [CRSForm1Choice](#) on page 2586 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2586
Or}	Proprietary <Prtry>	[1..1]	±		2587

76.1.25.10.14 CRSStatus <CRSSts>

Presence: [0..*]

Definition: Common Reporting Standard (CRS) status of the investor or account owner.

CRSStatus <CRSSts> contains the following elements (see [CRSStatus4](#) on page 2583 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2583
{Or	Code <Cd>	[1..1]	CodeSet		2584
Or}	Proprietary <Prtry>	[1..1]	±		2585
	Source <Src>	[0..1]			2585
{Or	Code <Cd>	[1..1]	CodeSet		2585
Or}	Proprietary <Prtry>	[1..1]	±		2586
	ExceptionalReportingCountry <XcptnlRptgCtry>	[0..1]	CodeSet	C11	2586

76.1.25.10.15 CRSReportingDate <CRSRptgDt>

Presence: [0..1]

Definition: Date provided by the account owner to inform the account servicer of the date on which the holdings must be reported before the account is subsequently closed.

Datatype: [ISODate](#) on page 3391

76.1.25.10.16 OtherIdentification <Othrlid>

Presence: [0..*]

Definition: Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

OtherIdentification <OthrId> contains the following elements (see [GenericIdentification82](#) on page 2007 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2008
	Type <Tp>	[1..1]			2008
{Or	Code <Cd>	[1..1]	CodeSet		2008
Or}	Proprietary <Prtry>	[1..1]	±		2009
	Issuer <Issr>	[0..1]	Text		2009
	IssueDate <IssDt>	[0..1]	Date		2010
	ExpiryDate <XpryDt>	[0..1]	Date		2010
	State <Stat>	[0..1]	Text		2010
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2010

76.1.25.10.17 TaxExemption <TaxXmptn>

Presence: [0..1]

Definition: Tax advantage specific to the account party.

TaxExemption <TaxXmptn> contains one of the following elements (see [TaxExemptionReason2Choice](#) on page 3125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3129

76.1.25.10.18 TaxReporting <TaxRptg>

Presence: [0..*]

Definition: Details for the reporting of tax, for example, the country of taxation.

TaxReporting <TaxRptg> contains the following elements (see [TaxReporting3](#) on page 3082 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C11	3083
	TaxRate <TaxRate>	[0..1]	Rate		3084
	TaxPayer <TaxPyer>	[0..1]	±		3084
	TaxRecipient <TaxRcpt>	[0..1]	±		3084
	CashAccountDetails <CshAcctDtls>	[0..1]			3084
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	3085
	Identification <Id>	[1..1]	±		3086
	AccountOwner <AcctOwnr>	[0..1]	±		3086
	AccountServicer <AcctSvcr>	[0..1]	±		3086
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		3087
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		3087
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		3088
	CreditDebit <CdtDbt>	[0..1]	CodeSet		3088
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			3088
{Or	Code <Cd>	[1..1]	CodeSet		3089
Or}	Proprietary <Prtry>	[1..1]	±		3089
	CashAccountPurpose <CshAcctPurp>	[0..1]			3090
{Or	Code <Cd>	[1..1]	CodeSet		3090
Or}	Proprietary <Prtry>	[1..1]	±		3090
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			3091
{Or	Code <Cd>	[1..1]	CodeSet		3091
Or}	Proprietary <Prtry>	[1..1]	±		3091
	DividendPercentage <DvddPctg>	[0..1]	Rate		3091
	Description <Desc>	[0..1]	Text		3091

76.1.25.10.19 Language <Lang>

Presence: [0..1]

Definition: Language in which the organisation or person communicates.

Impacted by: [C34 ValidationByTable](#)

Datatype: [LanguageCode](#) on page 3313

Constraints

- **ValidationByTable**

(Rule)

Must be a valid terrestrial language.

76.1.25.10.20 MailType <MailTp>

Presence: [0..1]

Definition: Method used for postal mailing.

MailType <MailTp> contains one of the following elements (see [MailType1Choice](#) on page 2582 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2583
Or}	Proprietary <Prtry>	[1..1]	±		2583

76.1.25.10.21 CountryAndResidentialStatus <CtryAndResdtlSts>

Presence: [0..1]

Definition: Country and residential status of the organisation or individual person.

CountryAndResidentialStatus <CtryAndResdtlSts> contains the following elements (see [CountryAndResidentialStatusType2](#) on page 2582 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2582
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		2582

76.1.25.10.22 MonetaryWealth <MntryWith>

Presence: [0..1]

Definition: Annual wealth of the individual person or share capital value of the legal entity and date on which the annual wealth of the individual person was registered or declared or the date the stock value of the organisation was registered.

MonetaryWealth <MntryWith> contains the following elements (see [DateAndAmount1](#) on page 1613 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1613
	Amount <Amt>	[1..1]	Amount	C2, C10	1613

76.1.25.10.23 EquityValue <EqtyVal>

Presence: [0..1]

Definition: Amount of total assets minus liabilities of the individual person or the amount of the difference between assets and liabilities plus rights over obligations (net equity) of the organisation and the date on which the equity value was registered.

EquityValue <EqtyVal> contains the following elements (see [DateAndAmount1](#) on page 1613 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1613
	Amount <Amt>	[1..1]	Amount	C2, C10	1613

76.1.25.10.24 WorkingCapital <WorkgCptl>

Presence: [0..1]

Definition: Resource or value owned or used by a third-party company and the date on which the working capital amount was registered.

WorkingCapital <WorkgCptl> contains the following elements (see [DateAndAmount1](#) on page 1613 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1613
	Amount <Amt>	[1..1]	Amount	C2, C10	1613

76.1.25.10.25 CompanyLink <CpnyLk>

Presence: [0..1]

Definition: Account owner's connection with the trading party or broker.

CompanyLink <CpnyLk> contains one of the following elements (see [CompanyLink1Choice](#) on page 2580 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2581
Or}	Proprietary <Prtry>	[1..1]	±		2581

76.1.25.10.26 ElectronicMailingServiceReference <ElctrncMIngSvcRef>

Presence: [0..1]

Definition: Reference to be specified when a letter, for example, an order confirmation, is sent by an automated mailing system.

Datatype: [Max350Text](#) on page 3409

76.1.25.10.27 PrimaryCommunicationAddress <PmryComAdr>

Presence: [0..*]

Definition: Communication device number or electronic address used for communication.

PrimaryCommunicationAddress <PmryComAdr> contains the following elements (see [CommunicationAddress6 on page 1609](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1609
{Or	Code <Cd>	[1..1]	CodeSet		1610
Or}	Proprietary <Prtry>	[1..1]	±		1610
	Email <Email>	[0..1]	Text		1610
	Phone <Phne>	[0..1]	Text		1610
	Mobile <Mob>	[0..1]	Text		1610
	FaxNumber <FaxNb>	[0..1]	Text		1611
	TelexAddress <TlxAdr>	[0..1]	Text		1611
	URLAddress <URLAdr>	[0..1]	Text		1611

76.1.25.10.28 SecondaryCommunicationAddress <ScndryComAdr>

Presence: [0..*]

Definition: Communication device number or electronic address used for communication.

SecondaryCommunicationAddress <ScndryComAdr> contains the following elements (see [CommunicationAddress6 on page 1609](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1609
{Or	Code <Cd>	[1..1]	CodeSet		1610
Or}	Proprietary <Prtry>	[1..1]	±		1610
	Email <Email>	[0..1]	Text		1610
	Phone <Phne>	[0..1]	Text		1610
	Mobile <Mob>	[0..1]	Text		1610
	FaxNumber <FaxNb>	[0..1]	Text		1611
	TelexAddress <TlxAdr>	[0..1]	Text		1611
	URLAddress <URLAdr>	[0..1]	Text		1611

76.1.25.10.29 AdditionalRegulatoryInformation <AddtlRgltryInf>

Presence: [0..1]

Definition: Additional regulatory information about the investor or account owner that is required in some markets to support anti-money laundering laws.

AdditionalRegulatoryInformation <AddtlRgltryInf> contains the following elements (see [RegulatoryInformation1](#) on page 2580 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Sector <Sctr>	[0..1]	Text		2580
	Branch <Brnch>	[0..1]	Text		2580
	Group <Grp>	[0..1]	Text		2580
	Other <Othr>	[0..1]	Text		2580

76.1.25.10.30 AccountingStatus <AcctgSts>

Presence: [0..1]

Definition: Specifies if the account party is regarded as domestic or non-domestic for reporting purposes.

AccountingStatus <AcctgSts> contains one of the following elements (see [AccountingStatus1Choice](#) on page 3052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3052
Or}	Proprietary <Prtry>	[1..1]	±		3053

76.1.25.10.31 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information such as remarks or notes that must be conveyed about the party and or limitations and restrictions.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation13](#) on page 2376 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		2377
	AdditionalInformation <AddtlInf>	[0..1]	Text		2377
	AccountValidation <AcctVldtn>	[0..1]	Text		2377
	Type <Tp>	[0..1]	Text		2377
	Regulator <Rgltr>	[0..1]	±		2377
	Status <Sts>	[0..1]			2378
{Or	Code <Cd>	[1..1]	CodeSet		2378
Or}	Proprietary <Prtry>	[1..1]	±		2378
	Period <Prd>	[0..1]			2378
	FromDateTime <FrDtTm>	[1..1]	DateTime		2379
	ToDateTime <ToDtTm>	[0..1]	DateTime		2379

76.1.25.10.32 ControllingParty <CtrlgPty>

Presence: [0..1]

Definition: Party is the controlling person.

(For an Entity that is a legal person, the term "Controlling Persons" means the natural person(s) who exercises control over the Entity. "Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the Entity. A "control ownership interest" depends on the ownership structure of the legal person and is usually identified on the basis of a threshold applying a risk-based approach (e.g. any person(s) owning more than a certain percentage of the legal person, such as 25%). Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be the natural person(s) who holds the position of senior managing official.).

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.25.11 InvestmentAccount75

Definition: Information about a securities account and its characteristics.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountStatusUpdateInstruction <AcctStsUpdInstr>	[0..1]	±		2099
	Name <Nm>	[0..1]	Text		2099
	Designation <Dsgnt>	[0..1]	Text		2100
	Type <Tp>	[0..1]	±		2100
	OwnershipType <OwnrshTp>	[0..1]	±		2100
	TaxExemption <TaxXmptn>	[0..1]	±		2100
	StatementFrequency <StmtFrqcy>	[0..1]	±		2101
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C2	2101
	Language <Lang>	[0..1]	CodeSet	C34	2101
	IncomePreference <IncmPref>	[0..1]	CodeSet		2102
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		2102
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		2102
	TaxReporting <TaxRptg>	[0..*]	±		2103
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		2104
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		2105
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		2105
	FundFamilyName <FndFmlyNm>	[0..1]	Text		2105
	ModifiedFinancialInstrumentDetails <ModfdFinInstrmDtls>	[0..*]			2105
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2105
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	2106
	RoundingDetails <RndgDtls>	[0..1]	±		2107
	AccountServicer <AcctSvcr>	[0..1]	±		2107
	BlockedStatus <BlckdSts>	[0..1]	±		2107
	AccountUsageType <AcctUsgTp>	[0..1]	±		2108
	ForeignStatusCertification <FrgnStsCertfctn>	[0..1]	CodeSet		2108
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		2108
	TransactionChannelType <TxChanITp>	[0..1]	±		2109
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		2109
	Pledging <Pldgg>	[0..1]	CodeSet		2109
	Collateral <Coll>	[0..1]	CodeSet		2109
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		2110

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>	[0..1]	±		2110
	AccountingStatus <AcctgSts>	[0..1]	±		2110
	OpeningDate <OpngDt>	[0..1]	±		2111
	ClosingDate <ClsgDt>	[0..1]	±		2111
	NegativeIndicator <NeglInd>	[0..1]	Indicator		2111
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		2111
	Liability <Lbilty>	[0..1]	±		2111
	ModifiedInvestorProfile <ModfdInvstrPrfl>	[0..*]			2112
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2112
	InvestorProfile <InvstrPrfl>	[1..1]	±		2112
	FiscalYear <Fsclyr>	[0..1]	±		2113

Constraints

• **AccountElementRule**

(Rule)

One of the elements (AccountStatusUpdateInstruction, Name, Designation, Type, OwnershipType, TaxExemption, StatementFrequency, ReferenceCurrency, Language, IncomePreference, ReinvestmentDetails, TaxWithholdingMethod, TaxReporting, LetterIntentDetails, AccumulationRightReference, RequiredSignatoriesNumber, FundFamilyName, ModifiedFinancialInstrumentDetails, RoundingDetails, Account Servicer, BlockedStatus, AccountUsageType, ForeignStatusCertification, AccountSignatureDateTime, TransactionChannelType, InvestmentAccountCategory, Pledging, Collateral, ThirdPartyRights, PowerOfAttorneyLevelOfControl, AccountingStatus, OpeningDate, ClosingDate, NegativeIndicator, ProcessingOrder, Liability, ModifiedInvestorProfile, FiscalYear) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

• **FinancialInstrumentDetailsGuideline**

(Guideline)

ModifiedFinancialInstrumentDetails/FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

• **IncomePreferenceReinvestmentRule**

(Rule)

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

On Condition
 /IncomePreference is equal to value 'Cash'
 Following Must be True
 /ReinvestmentDetails[*] Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00326
- *Error Text:* ReinvestmentDetails is not allowed becauseIncomePreference is CASH.

• **ReinvestmentPercentageRule**

(Rule)

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:* Reinvestment Percentage must not be greater 100.

76.1.25.11.1 AccountStatusUpdateInstruction <AcctStsUpdInstr>

Presence: [0..1]

Definition: Change of account status is instructed.

AccountStatusUpdateInstruction <AcctStsUpdInstr> contains the following elements (see [AccountStatusUpdateInstruction1](#) on page 3025 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateInstruction <UpdInstr>	[1..1]			3025
{Or	Code <Cd>	[1..1]	CodeSet		3025
Or}	Proprietary <Prtry>	[1..1]	±		3025
	UpdateInstructionReason <UpdInstrRsn>	[0..1]			3026
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		3026
Or}	Reason <Rsn>	[1..*]		C27	3026
	Code <Cd>	[0..1]			3027
{Or	Code <Cd>	[1..1]	CodeSet		3027
Or}	Proprietary <Prtry>	[1..1]	±		3027
	AdditionalInformation <AddtlInf>	[0..1]	Text		3028

76.1.25.11.2 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text on page 3409](#)

76.1.25.11.3 Designation <Dsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text on page 3409](#)

76.1.25.11.4 Type <Tp>

Presence: [0..1]

Definition: Type of account.

Type <Tp> contains one of the following elements (see [AccountType2Choice on page 1591](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1591
Or}	Proprietary <Prtry>	[1..1]	±		1591

76.1.25.11.5 OwnershipType <OwnrshTp>

Presence: [0..1]

Definition: Ownership status of the account, for example, joint owners.

OwnershipType <OwnrshTp> contains one of the following elements (see [OwnershipType2Choice on page 2147](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2147
Or}	Proprietary <Prtry>	[1..1]	±		2148

76.1.25.11.6 TaxExemption <TaxXmptn>

Presence: [0..1]

Definition: Tax advantage specific to the account.

TaxExemption <TaxXmptn> contains one of the following elements (see [TaxExemptionReason2Choice on page 3125](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3129

76.1.25.11.7 StatementFrequency <StmntFrqcy>

Presence: [0..1]

Definition: Frequency at which a statement is issued.

StatementFrequency <StmntFrqcy> contains one of the following elements (see [StatementFrequencyReason2Choice](#) on page 1997 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1997
Or}	Proprietary <Prtry>	[1..1]	±		1998

76.1.25.11.8 ReferenceCurrency <RefCcy>

Presence: [0..1]

Definition: Currency chosen for reporting purposes by the account owner in agreement with the account servicer.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode](#) on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.25.11.9 Language <Lang>

Presence: [0..1]

Definition: Language for all communication concerning the account.

Impacted by: [C34 ValidationByTable](#)

Datatype: [LanguageCode](#) on page 3313

Constraints

- **ValidationByTable**

(Rule)

Must be a valid terrestrial language.

76.1.25.11.10 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: IncomePreference2Code on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

76.1.25.11.11 ReinvestmentDetails <RinvstmtDtls>

Presence: [0..*]

Definition: Specifies, for income on the fund or security that is to be reinvested, parameters for the reinvestment. If the reinvestment percentage is less than one hundred percent, the remaining percentage will be invested according to the investor's or account owner's subsequent instructions.

ReinvestmentDetails <RinvstmtDtls> contains the following elements (see [Reinvestment4](#) on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	2141
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C2	2142
	ReinvestmentPercentage <RinvstmtPctg>	[1..1]	Rate		2142

76.1.25.11.12 TaxWithholdingMethod <TaxWhldgMtd>

Presence: [0..1]

Definition: Method by which the tax (withholding tax) is to be processed, that is, either withheld at source or tax information is reported to tax authorities or tax information is reported due to the provision of a tax certificate.

Datatype: TaxWithholdingMethod3Code on page 3376

CodeName	Name	Definition
MITX	MinorityInterestTax	Minority interest tax is withheld.
INVE	InvestmentCompany	Withholding tax is applied to an investment company.
ACCT	Accountant	Dividend tax is exempt according to the accountant.
EXMT	Exempt	Dividend tax is exempt.
REPT	ReportTax	Tax information is reported to the tax authorities and therefore not withheld at source.
CRTF	TaxCertificate	Tax certificate is provided by the beneficiary from its tax authority in its country of residence. Therefore, the

CodeName	Name	Definition
		obligation of withholding tax is waived and tax information will be reported to the tax authorities.
WHCO	WithholdingCorporateTax	Withholding tax is applied to a corporate.
WTHD	WithholdTax	Tax is withheld at source.
WTRE	WithholdTaxAndReport	Tax is withheld at source and the tax information is also reported to the tax authorities.

76.1.25.11.13 TaxReporting <TaxRptg>

Presence: [0..*]

Definition: Details for the reporting of tax, for example, the country of taxation.

TaxReporting <TaxRptg> contains the following elements (see [TaxReporting3](#) on page 3082 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C11	3083
	TaxRate <TaxRate>	[0..1]	Rate		3084
	TaxPayer <TaxPyer>	[0..1]	±		3084
	TaxRecipient <TaxRcpt>	[0..1]	±		3084
	CashAccountDetails <CshAcctDtls>	[0..1]			3084
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	3085
	Identification <Id>	[1..1]	±		3086
	AccountOwner <AcctOwnr>	[0..1]	±		3086
	AccountServicer <AcctSvcr>	[0..1]	±		3086
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		3087
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		3087
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		3088
	CreditDebit <CdtDbt>	[0..1]	CodeSet		3088
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			3088
{Or	Code <Cd>	[1..1]	CodeSet		3089
Or}	Proprietary <Prtry>	[1..1]	±		3089
	CashAccountPurpose <CshAcctPurp>	[0..1]			3090
{Or	Code <Cd>	[1..1]	CodeSet		3090
Or}	Proprietary <Prtry>	[1..1]	±		3090
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			3091
{Or	Code <Cd>	[1..1]	CodeSet		3091
Or}	Proprietary <Prtry>	[1..1]	±		3091
	DividendPercentage <DvddPctg>	[0..1]	Rate		3091
	Description <Desc>	[0..1]	Text		3091

76.1.25.11.14 LetterIntentDetails <LtrInttDtls>

Presence: [0..1]

Definition: Details of the letter of intent.

LetterIntentDetails <LtrInttDtls> contains the following elements (see [LetterIntent1](#) on page 2454 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LetterIntentReference <LtrInttRef>	[1..1]	Text		2454
	Amount <Amt>	[0..1]	Amount	C2	2454
	StartDate <StartDt>	[0..1]	Date		2454
	EndDate <EndDt>	[0..1]	Date		2455

76.1.25.11.15 AccumulationRightReference <AcmltnRghtRef>

Presence: [0..1]

Definition: Reference of an accumulation rights program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

Datatype: [Max35Text](#) on page 3409

76.1.25.11.16 RequiredSignatoriesNumber <ReqrdSgntriesNb>

Presence: [0..1]

Definition: Number of account owners or related parties required to authorise transactions on the account.

Datatype: [Number](#) on page 3405

76.1.25.11.17 FundFamilyName <FndFmlyNm>

Presence: [0..1]

Definition: Name of the investment fund family.

Datatype: [Max350Text](#) on page 3409

76.1.25.11.18 ModifiedFinancialInstrumentDetails <ModfdFinInstrmDtls>

Presence: [0..*]

Definition: Detailed information about the financial instrument associated to the account that is to be modified or deleted.

ModifiedFinancialInstrumentDetails <ModfdFinInstrmDtls> contains the following **ModificationScope42** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2105
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	2106

76.1.25.11.18.1 ModificationScopeIndication <ModScplIndctn>

Presence: [1..1]

Definition: Type of modification to be applied.

Datatype: [DataModification2Code](#) on page 3270

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.1.25.11.18.2 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Detailed information about the investment fund or security associated to the account.

Impacted by: [C20 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument87](#) on page 1877 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1878
	Name <Nm>	[0..1]	Text		1879
	ShortName <ShrtNm>	[0..1]	Text		1879
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1879
	ClassType <ClsTp>	[0..1]	Text		1880
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1880
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1880
	ProductGroup <PdctGrp>	[0..1]	Text		1880
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1880
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1882
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1882
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1882
	Pledging <Pldgg>	[0..1]	CodeSet		1882
	Collateral <Coll>	[0..1]	CodeSet		1883
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1883
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1883
	FundIntention <FndIntntn>	[0..1]	CodeSet		1883
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1884

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.25.11.19 RoundingDetails <RndgDtIs>

Presence: [0..1]

Definition: Parameters to be applied on deal amount for orders when the amount is a fractional number.

RoundingDetails <RndgDtIs> contains the following elements (see [RoundingParameters1](#) on page 1611 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RoundingModulus <RndgMdlus>	[0..1]	Quantity		1611
	RoundingDirection <RndgDrctn>	[1..1]	CodeSet		1611

76.1.25.11.20 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

AccountServicer <AcctSvcr> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.25.11.21 BlockedStatus <BlckdSts>

Presence: [0..1]

Definition: Specifies the account is blocked and other factors for the blocked account.

BlockedStatus <BlckdSts> contains one of the following elements (see [BlockedStatusReason2Choice](#) on page 3047 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3048
Or}	Reason <Rsn>	[1..*]			3048
	TransactionType <TxTp>	[1..1]			3049
{Or	Code <Cd>	[1..1]	CodeSet		3049
Or}	Proprietary <Prtry>	[1..1]	±		3050
	Blocked <Blckd>	[1..1]	Indicator		3050
	Reason <Rsn>	[0..*]			3050
{Or	Code <Cd>	[1..1]	CodeSet		3051
Or}	Proprietary <Prtry>	[1..1]	±		3051
	AdditionalInformation <AddtlInf>	[1..1]	Text		3051

76.1.25.11.22 AccountUsageType <AcctUsgTp>

Presence: [0..1]

Definition: Specifies the type of usage of the account.

AccountUsageType <AcctUsgTp> contains one of the following elements (see [AccountUsageType2Choice](#) on page 2146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2146
Or}	Proprietary <Prtry>	[1..1]	±		2146

76.1.25.11.23 ForeignStatusCertification <FrgnStsCertfctn>

Presence: [0..1]

Definition: Specifies if documentary evidence has been provided for the foreign resident.

Datatype: [Provided1Code](#) on page 3333

CodeName	Name	Definition
NPRO	NotProvided	Not provided.
PROV	Provided	Provided.

76.1.25.11.24 AccountSignatureDateTime <AcctSgntrDtTm>

Presence: [0..1]

Definition: Date the investor or account owner signs the open account form.

AccountSignatureDateTime <AcctSgntDtTm> contains one of the following elements (see [DateAndDateTime1Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1825
Or}	DateTime <DtTm>	[1..1]	DateTime		1825

76.1.25.11.25 TransactionChannelType <TxChanITp>

Presence: [0..1]

Definition: Means by which the investor or account owner submits the open account form.

TransactionChannelType <TxChanITp> contains one of the following elements (see [TransactionChannelType1Choice](#) on page 2455 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2455
Or}	Proprietary <Prtry>	[1..1]	±		2455

76.1.25.11.26 InvestmentAccountCategory <InvstmtAcctCtgy>

Presence: [0..1]

Definition: Specifies the category of the account.

InvestmentAccountCategory <InvstmtAcctCtgy> contains one of the following elements (see [InvestmentAccountCategory1Choice](#) on page 2151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2152
Or}	Proprietary <Prtry>	[1..1]	±		2152

76.1.25.11.27 Pledging <Pldgg>

Presence: [0..1]

Definition: Specifies whether the holdings in the account are eligible for pledging.

Datatype: [Eligible1Code](#) on page 3272

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.
NELI	NotEligible	Item is not eligible.

76.1.25.11.28 Collateral <Coll>

Presence: [0..1]

Definition: Specifies whether the holdings in the account are used as collateral.

Datatype: [Collateral1Code](#) on page 3259

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

76.1.25.11.29 ThirdPartyRights <ThrdPtyRghts>

Presence: [0..1]

Definition: Details of third party rights.

ThirdPartyRights <ThrdPtyRghts> contains the following elements (see [ThirdPartyRights2](#) on page 2142 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2143
	DateTime <DtTm>	[0..1]	DateTime		2143
	Holder <Hldr>	[0..1]	±		2143
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2143
	Amount <Amt>	[0..1]	Amount	C2, C10	2143
	Description <Desc>	[0..1]	Text		2144

76.1.25.11.30 PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>

Presence: [0..1]

Definition: Functionality permitted to a third party in the actions that may be taken on an account on behalf of the investor.

PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl> contains one of the following elements (see [LevelOfControl1Choice](#) on page 2394 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2394
Or}	Proprietary <Prtry>	[1..1]	±		2395

76.1.25.11.31 AccountingStatus <AcctgSts>

Presence: [0..1]

Definition: Specifies if the account is regarded as domestic or non-domestic for reporting purposes.

AccountingStatus <AcctgSts> contains one of the following elements (see [AccountingStatus1Choice](#) on page 3052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3052
Or}	Proprietary <Prtry>	[1..1]	±		3053

76.1.25.11.32 OpeningDate <OpngDt>

Presence: [0..1]

Definition: Legal opening date for the account.

OpeningDate <OpngDt> contains one of the following elements (see [DateAndDateTime1Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1825
Or}	DateTime <DtTm>	[1..1]	DateTime		1825

76.1.25.11.33 ClosingDate <ClsgDt>

Presence: [0..1]

Definition: Legal closing date for the account.

ClosingDate <ClsgDt> contains one of the following elements (see [DateAndDateTime1Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1825
Or}	DateTime <DtTm>	[1..1]	DateTime		1825

76.1.25.11.34 NegativeIndicator <NegInd>

Presence: [0..1]

Definition: Indicates whether the account can hold a negative position in a security.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.25.11.35 ProcessingOrder <PrcgOrdr>

Presence: [0..1]

Definition: Order in which securities are moved from the account.

Datatype: [PositionEffect3Code](#) on page 3330

CodeName	Name	Definition
FIFO	Fifo	First in, first out. Results in a position obtained after having sold in priority the securities bought chronologically.
LIFO	Lifo	Last in, last out. Results in a position obtained after having sold in priority the securities bought chronologically.

76.1.25.11.36 Liability <Lbilty>

Presence: [0..1]

Definition: Specifies whether the investor assumes responsibility for the liability.

Liability <Lbly> contains one of the following elements (see [Liability1Choice](#) on page 2394 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2394
Or}	Proprietary <Prtry>	[1..1]	±		2394

76.1.25.11.37 ModifiedInvestorProfile <ModfdInvstrPrfl>

Presence: [0..*]

Definition: Information related to the investor profile to be inserted, updated or deleted.

ModifiedInvestorProfile <ModfdInvstrPrfl> contains the following **ModificationScope46** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2112
	InvestorProfile <InvstrPrfl>	[1..1]	±		2112

76.1.25.11.37.1 ModificationScopeIndication <ModScplIndctn>

Presence: [1..1]

Definition: Specifies the type of modification to be applied.

Datatype: [DataModification1Code](#) on page 3270

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.1.25.11.37.2 InvestorProfile <InvstrPrfl>

Presence: [1..1]

Definition: Information used to determine fees and types of operations that can be carried out on the account.

InvestorProfile <InvstrPrfl> contains the following elements (see [InvestorProfile2](#) on page 2362 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			2363
{Or	Code <Cd>	[1..1]	CodeSet		2364
Or}	Proprietary <Prtry>	[1..1]	±		2364
	Status <Sts>	[0..1]			2365
{Or	Code <Cd>	[1..1]	CodeSet		2365
Or}	Proprietary <Prtry>	[1..1]	±		2365
	Treasury <Trsr>	[0..1]			2366
	Date <Dt>	[1..1]	Date		2366
	TraderType <TradrTp>	[1..1]			2366
{Or	Code <Cd>	[1..1]	CodeSet		2366
Or}	Proprietary <Prtry>	[1..1]	±		2367
	Rate <Rate>	[1..1]	Rate		2367
	HighFrequencyTrading <HghFrqcyTradg>	[0..1]			2367
	Date <Dt>	[0..1]	Date		2367
	SettlementFrequency <SttlmFrqcy>	[0..1]			2368
{Or	Code <Cd>	[1..1]	CodeSet		2368
Or}	Proprietary <Prtry>	[1..1]	±		2368
	ConsolidationType <CnsltdnTp>	[0..1]			2368
{Or	Code <Cd>	[1..1]	CodeSet		2369
Or}	Proprietary <Prtry>	[1..1]	±		2369
	MarketMaker <MktMakr>	[0..1]			2369
	ContractPeriod <CtrctPrd>	[0..1]			2369
	FromDateTime <FrDtTm>	[1..1]	DateTime		2370
	ToDateTime <ToDtTm>	[0..1]	DateTime		2370
	Compliance <Cmplc>	[0..1]	Indicator		2370
	MaximumSpread <MaxSprd>	[0..1]	Rate		2370
	Discount <Dscnt>	[0..1]	Rate		2370

76.1.25.11.38 FiscalYear <FscIYr>

Presence: [0..1]

Definition: Fiscal year, when not the same as the calendar year.

FiscalYear <FscIYr> contains one of the following elements (see [FiscalYear1Choice](#) on page 1826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StartDate <StartDt>	[1..1]	Date		1826
Or}	EndDate <EndDt>	[1..1]	Date		1827

76.1.25.12 InvestmentAccount76

Definition: Information about a securities account and its characteristics.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2115
	Designation <Dsgnt>	[0..1]	Text		2115
	FundType <FndTp>	[0..1]	Text		2115
	FundFamilyName <FndFmlyNm>	[0..1]	Text		2115
	SecurityDetails <SctyDtls>	[0..1]		C4	2115
	Identification <Id>	[1..1]	±		2116
	Name <Nm>	[0..1]	Text		2117
	ShortName <ShrtNm>	[0..1]	Text		2117
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		2117
	ClassType <ClsTp>	[0..1]	Text		2118
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2118
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		2118
	ProductGroup <PdctGrp>	[0..1]	Text		2118
	AccountOwner <AcctOwnr>	[0..1]			2118
{Or	IndividualOwnerIdentification <IndvOwnrId>	[1..1]			2119
{Or	IdentificationNumber <IdNb>	[1..1]	±		2119
Or}	PersonName <PrsnNm>	[1..1]	±		2119
Or}	OrganisationOwnerIdentification <OrgOwnrId>	[1..1]	±	C6	2120
	Intermediary <Intrmy>	[0..*]	±		2121
	AccountServicer <AcctSvcr>	[0..1]	±		2121

Constraints

- **AccountDataElementRule**
(Rule)

One of the elements (Name, Designation, FundType, FundFamilyName, SecurityDetails, AccountOwner, Intermediary, Account Servicer) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.25.12.1 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: Max35Text on page 3409

76.1.25.12.2 Designation <Dsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: Max35Text on page 3409

76.1.25.12.3 FundType <FndTp>

Presence: [0..1]

Definition: Legal form of the fund, for example, UCITS, SICAV, OEIC, Unit Trust, and FCP.

Datatype: Max35Text on page 3409

76.1.25.12.4 FundFamilyName <FndFmlyNm>

Presence: [0..1]

Definition: Name of the investment fund family.

Datatype: Max350Text on page 3409

76.1.25.12.5 SecurityDetails <SctyDtls>

Presence: [0..1]

Definition: Detailed information about the investment fund associated to the account.

Impacted by: C4 IdentificationGuideline

SecurityDetails <SctyDtIs> contains the following **FinancialInstrument55** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2116
	Name <Nm>	[0..1]	Text		2117
	ShortName <ShrtNm>	[0..1]	Text		2117
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		2117
	ClassType <ClsTp>	[0..1]	Text		2118
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2118
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		2118
	ProductGroup <PdctGrp>	[0..1]	Text		2118

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.25.12.5.1 Identification <Id>

Presence: [1..1]

Definition: Identification of the security by an ISIN.

Identification <Id> contains one of the following elements (see [SecurityIdentification25Choice](#) on page 1928 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1928
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1929
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1929
Or	RIC <RIC>	[1..1]	IdentifierSet		1929
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1929
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1929
Or	CTA <CTA>	[1..1]	IdentifierSet		1929
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1929
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1930
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1930
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		1930
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1930
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1930
Or	Common <Cmon>	[1..1]	IdentifierSet		1930
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1930
	Identification <Id>	[1..1]	Text		1931
	IdentificationSource <IdSrc>	[1..1]	±		1931

76.1.25.12.5.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text](#) on page 3409

76.1.25.12.5.3 ShortName <ShrtNm>

Presence: [0..1]

Definition: Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

Datatype: [Max35Text](#) on page 3409

76.1.25.12.5.4 SupplementaryIdentification <SplmtryId>

Presence: [0..1]

Definition: Additional information about the financial instrument to help identify the instrument.

Datatype: [Max35Text](#) on page 3409

76.1.25.12.5.5 ClassType <ClsTp>

Presence: [0..1]

Definition: Features of units offered by the fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

Datatype: [Max35Text on page 3409](#)

76.1.25.12.5.6 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, that is, ownership, of the security, for example, registered or bearer.

Datatype: [FormOfSecurity1Code on page 3281](#)

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.25.12.5.7 DistributionPolicy <DstrbtnPlcy>

Presence: [0..1]

Definition: Income policy relating to the class type, that is, if income is paid out or retained in the fund.

Datatype: [DistributionPolicy1Code on page 3271](#)

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

76.1.25.12.5.8 ProductGroup <PdctGrp>

Presence: [0..1]

Definition: Company specific description of a group of funds.

Datatype: [Max140Text on page 3407](#)

76.1.25.12.6 AccountOwner <AcctOwnr>

Presence: [0..1]

Definition: Owner of the account.

AccountOwner <AcctOwnr> contains one of the following **AccountOwner3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndividualOwnerIdentification <IndvOwnrld>	[1..1]			2119
{Or	IdentificationNumber <IdNb>	[1..1]	±		2119
Or}	PersonName <PrsnNm>	[1..1]	±		2119
Or}	OrganisationOwnerIdentification <OrgOwnrld>	[1..1]	±	C6	2120

76.1.25.12.6.1 IndividualOwnerIdentification <IndvOwnrld>

Presence: [1..1]

Definition: Identification of the individual person that legally owns the account.

IndividualOwnerIdentification <IndvOwnrld> contains one of the following **IndividualPersonIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IdentificationNumber <IdNb>	[1..1]	±		2119
Or}	PersonName <PrsnNm>	[1..1]	±		2119

76.1.25.12.6.1.1 IdentificationNumber <IdNb>

Presence: [1..1]

Definition: Identification of the person that owns the account.

IdentificationNumber <IdNb> contains the following elements (see [GenericIdentification81](#) on page 2010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2011
	IdentificationType <IdTp>	[1..1]			2011
{Or	Code <Cd>	[1..1]	CodeSet		2011
Or}	Proprietary <Prtry>	[1..1]	±		2012

76.1.25.12.6.1.2 PersonName <PrsnNm>

Presence: [1..1]

Definition: Name of the person that owns the account.

PersonName <PrsnNm> contains the following elements (see [IndividualPerson35](#) on page 2790 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GivenName <GvnNm>	[0..1]	Text		2790
	MiddleName <MddlNm>	[0..1]	Text		2791
	Name <Nm>	[1..1]	Text		2791
	Gender <Gndr>	[0..1]	CodeSet		2791
	BirthDate <BirthDt>	[0..1]	Date		2791

76.1.25.12.6.2 OrganisationOwnerIdentification <OrgOwnrld>

Presence: [1..1]

Definition: Identification of the organisation that legally owns the account.

Impacted by: [C6 OrganisationIdentificationRule](#)

OrganisationOwnerIdentification <OrgOwnrld> contains the following elements (see [PartyIdentification220](#) on page 2480 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			2481
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2482
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2482
Or	NameAndAddress <NmAndAdr>	[1..1]			2483
	Name <Nm>	[1..1]	Text		2483
	PostalAddress <PstlAdr>	[0..1]	±	C23	2483
Or	TaxIdentificationNumber <TaxIdNb>	[1..1]	Text		2484
Or}	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		2484
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2485

Constraints

- **OrganisationIdentificationRule**

(Rule)

Either Identification or Legal Entity Identifier must be present. Both Identification and Legal Entity Identifier may be present.

Following Must be True

 /Identification Must be present

Or /LegalEntityIdentifier Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00380
- *Error Text:* Identification or Legal Entity Identifier must be present.

76.1.25.12.7 Intermediary <Intrmy>

Presence: [0..*]

Definition: Intermediary or other party related to the management of the account.

Intermediary <Intrmy> contains the following elements (see [Intermediary47 on page 2578](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2579
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2579
	Account <Acct>	[0..1]			2579
	Identification <Id>	[0..1]	Text		2579
	AccountServicer <AcctSvcr>	[1..1]	±		2579

76.1.25.12.8 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

AccountServicer <AcctSvcr> contains one of the following elements (see [PartyIdentification125Choice on page 2618](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.25.13 InvestmentAccountOwnershipInformation16

Definition: Characteristics of the ownership of a securities account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClsfctn>	[0..1]	±		2129
	RiskLevel <RskLv/>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClsfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmpn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWlth>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.25.13.1 Party <Pty>

Presence: [1..1]

Definition: Information about the organisation or individual person.

Party <Pty> contains one of the following **Party47Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124

76.1.25.13.1.1 Organisation <Org>

Presence: [1..1]

Definition: Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

Impacted by: [C24 OrganisationElementRule](#)

Organisation <Org> contains the following elements (see [Organisation39](#) on page 2485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2486
	ShortName <ShrtNm>	[0..1]	Text		2486
	Identification <Id>	[0..1]			2486
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2486
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2487
	LegalEntityIdentifier <LglnTtyId>	[0..1]	IdentifierSet		2487
	Purpose <Purp>	[0..1]	Text		2487
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2487
	RegistrationDate <RegnDt>	[0..1]	Date		2488
	PostalAddress <PstlAdr>	[0..10]	±	C23	2488
	TypeOfOrganisation <TpOfOrg>	[0..1]			2489
{Or	Code <Cd>	[1..1]	CodeSet		2489
Or}	Proprietary <Prtry>	[1..1]	±		2489
	PlaceOfListing <PlcOfListg>	[0..*]	IdentifierSet		2489

Constraints

- **OrganisationElementRule**

(Rule)

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, PostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.25.13.1.2 IndividualPerson <IndvPrsn>

Presence: [1..1]

Definition: Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

IndividualPerson <IndvPrsn> contains the following elements (see [IndividualPerson37](#) on page 2791 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			2793
{Or	Code <Cd>	[1..1]	CodeSet		2793
Or}	Proprietary <Prtry>	[1..1]	±		2793
	GivenName <GvnNm>	[0..1]	Text		2794
	MiddleName <MddlNm>	[0..1]	Text		2794
	Name <Nm>	[1..1]	Text		2794
	NameSuffix <NmSfx>	[0..1]	Text		2794
	Gender <Gndr>	[0..1]	CodeSet		2794
	BirthDate <BirthDt>	[0..1]	Date		2794
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C11	2795
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		2795
	CityOfBirth <CityOfBirth>	[0..1]	Text		2795
	Profession <Prfssn>	[0..1]	Text		2795
	PostalAddress <PstlAdr>	[1..10]	±	C23	2795
	Citizenship <Ctznshtp>	[0..3]			2796
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2797
	MinorIndicator <MnrInd>	[1..1]	Indicator		2797
	EmployingCompany <EmplngCpny>	[0..1]	Text		2797
	BusinessFunction <BizFctn>	[0..1]	Text		2797
	PoliticallyExposedPerson <PltcllyXpsdPrsn>	[0..1]		C29	2797
	PoliticallyExposedPersonType <PltcllyXpsdPrsnTp>	[1..1]			2798
{Or	Code <Cd>	[1..1]	CodeSet		2798
Or}	Proprietary <Prtry>	[1..1]	±		2799
	PoliticallyExposedPersonStatus <PltcllyXpsdPrsnSts>	[0..1]			2799
{Or	Code <Cd>	[1..1]	CodeSet		2799
Or}	Proprietary <Prtry>	[1..1]	±		2800
	DeathDate <DthDt>	[0..1]	Date		2800
	CivilStatus <CvlSts>	[0..1]			2800
{Or	Code <Cd>	[1..1]	CodeSet		2801
Or}	Proprietary <Prtry>	[1..1]	±		2801

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EducationLevel <EdctnLvl>	[0..1]	Text		2801
	FamilyInformation <FmlyInf>	[0..1]			2801
	NameOfFather <NmOfFthr>	[0..1]	Text		2802
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2802
	NameOfPartner <NmOfPrtrnr>	[0..1]	Text		2802
	GDPRData <GDPRData>	[0..*]			2802
	ConsentType <CnsntTp>	[1..1]			2802
{Or	Code <Cd>	[1..1]	CodeSet		2802
Or}	Proprietary <Prtry>	[1..1]	±		2803
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2803
	ConsentDate <CnsntDt>	[1..1]	Date		2803

76.1.25.13.2 MoneyLaunderingCheck <MnyLndrgChck>

Presence: [0..1]

Definition: Status of an identity check to prevent money laundering. This includes the counter-terrorism check.

MoneyLaunderingCheck <MnyLndrgChck> contains one of the following elements (see [MoneyLaunderingCheck1Choice](#) on page 2645 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2645
Or}	Proprietary <Prtry>	[1..1]	±		2646

76.1.25.13.3 InvestorProfileValidation <InvstrPrfIVldtn>

Presence: [0..*]

Definition: Information to support Know Your Customer (KYC) processes.

InvestorProfileValidation <InvstrPrfIVldtn> contains the following **PartyProfileInformation5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLv/>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130

76.1.25.13.3.1 CertificationIndicator <CertfctnInd>

Presence: [0..1]

Definition: Indicates whether the certificate type has been obtained and verified.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.25.13.3.2 ValidatingParty <VldtngPty>

Presence: [0..1]

Definition: Identification of the person who validated the document.

Datatype: [Max140Text](#) on page 3407

76.1.25.13.3.3 CheckingParty <ChckngPty>

Presence: [0..1]

Definition: Identification of the person who checked the document.

Datatype: [Max140Text](#) on page 3407

76.1.25.13.3.4 ResponsibleParty <RspnsblPty>

Presence: [0..1]

Definition: Identification of the person who is responsible for the document.

Datatype: [Max140Text](#) on page 3407

76.1.25.13.3.5 CertificateType <CertTp>

Presence: [0..1]

Definition: Type of certificate.

CertificateType <CertTp> contains one of the following elements (see [CertificationType1Choice](#) on page 2593 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2593
Or}	Proprietary <Prtry>	[1..1]	±		2594

76.1.25.13.3.6 CheckingDate <ChckngDt>

Presence: [0..1]

Definition: Date at which the certification check has been performed.

Datatype: [ISODate](#) on page 3391

76.1.25.13.3.7 CheckingFrequency <ChckngFrqcy>

Presence: [0..1]

Definition: Specifies how frequently the check is performed.

Datatype: [EventFrequency1Code](#) on page 3276

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.

CodeName	Name	Definition
ONDE	OnDemand	Event takes place on demand.

76.1.25.13.3.8 NextRevisionDate <NxtRvsnDt>

Presence: [0..1]

Definition: Specifies the date at which the next certification check will be performed.

Datatype: [ISODate on page 3391](#)

76.1.25.13.3.9 SalaryRange <SlryRg>

Presence: [0..1]

Definition: Limits between which a person's salary is estimated.

Datatype: [Max35Text on page 3409](#)

76.1.25.13.3.10 SourceOfWealth <SrcOfWith>

Presence: [0..1]

Definition: Indicates the main source of revenue.

Datatype: [Max140Text on page 3407](#)

76.1.25.13.3.11 CustomerConductClassification <CstmrCndctClssfctn>

Presence: [0..1]

Definition: Specifies an assessment of the customer's behaviour at the time of the account opening application.

CustomerConductClassification <CstmrCndctClssfctn> contains one of the following elements (see [CustomerConductClassification1Choice on page 2145](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2145
Or}	Proprietary <Prtry>	[1..1]	±		2146

76.1.25.13.3.12 RiskLevel <RskLvl>

Presence: [0..1]

Definition: Specifies the customer's money laundering risk.

RiskLevel <RskLvl> contains one of the following elements (see [RiskLevel2Choice on page 2592](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2592
Or}	Proprietary <Prtry>	[1..1]	±		2593

76.1.25.13.3.13 KnowYourCustomerCheckType <KnowYourCstmrChckTp>

Presence: [0..1]

Definition: Specifies the type of due diligence checks carried out on the investor or account owner. For definitions of ordinary, simple and enhanced know your customer checks, local market regulations should be consulted.

KnowYourCustomerCheckType <KnowYourCstmrChckTp> contains one of the following elements (see [KYCCheckType1Choice](#) on page 2591 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2592
Or}	Proprietary <Prtry>	[1..1]	±		2592

76.1.25.13.3.14 KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>

Presence: [0..1]

Definition: Specifies whether a customer has been checked in a Know Your Customer (KYC) database.

KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck> contains the following elements (see [DataBaseCheck1](#) on page 2591 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DatabaseCheck <DBChck>	[1..1]	Indicator		2591
	Identification <Id>	[1..1]	Text		2591

76.1.25.13.4 OwnershipBeneficiaryRate <OwnrshBnfcryRate>

Presence: [0..1]

Definition: Percentage of ownership or of beneficial ownership of the shares/units in the account. All subsequent subscriptions or purchases and or redemptions or sells will be allocated using the same percentage.

Impacted by: [C25 OwnershipBeneficiaryRateRule](#)

OwnershipBeneficiaryRate <OwnrshBnfcryRate> contains the following elements (see [OwnershipBeneficiaryRate1](#) on page 2590 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Rate <Rate>	[0..1]	Rate		2591
	Fraction <Frctn>	[0..1]	Text		2591

Constraints

- **OwnershipBeneficiaryRateRule**

(Rule)

Either Rate or Fraction must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*

– *Error Text:*

76.1.25.13.5 ClientIdentification <Clntld>

Presence: [0..1]

Definition: Unique identification, as assigned by an organisation, to unambiguously identify a party.

Datatype: [Max35Text on page 3409](#)

76.1.25.13.6 FiscalExemption <FscIXmptn>

Presence: [0..1]

Definition: Indicates whether an owner of the account may benefit from a fiscal exemption or amnesty, for example, when declaring overseas investments.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.25.13.7 SignatoryRightIndicator <SgntryRghtInd>

Presence: [0..1]

Definition: Indicates whether the signature of the account owner is required to authorise transactions on the account.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.25.13.8 MiFIDClassification <MiFIDClssfctn>

Presence: [0..1]

Definition: Details about the MiFID classification of the account owner.

MiFIDClassification <MiFIDClssfctn> contains the following elements (see [MiFIDClassification1 on page 2453](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Classification <Clssfctn>	[1..1]	CodeSet		2453
	Narrative <Nrrtv>	[0..1]	Text		2453

76.1.25.13.9 Notification <Ntfctn>

Presence: [0..*]

Definition: Type of information that must be provided to the account holder.

Notification <Ntfctn> contains the following elements (see [Notification2](#) on page 2374 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NotificationType <NtfctnTp>	[1..1]	Text		2375
	Required <Reqrd>	[1..1]	Indicator		2375
	DistributionType <DstrbtnTp>	[0..1]	±		2375

76.1.25.13.10 FATCAFormType <FATCAFormTp>

Presence: [0..*]

Definition: Type of Foreign Account Tax Compliance Act (FATCA) form submitted by the investor or account owner.

FATCAFormType <FATCAFormTp> contains one of the following elements (see [FATCAForm1Choice](#) on page 2404 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2404
Or}	Proprietary <Prtry>	[1..1]	±		2405

76.1.25.13.11 FATCAStatus <FATCASts>

Presence: [0..*]

Definition: Foreign Account Tax Compliance Act (FATCA) status of the investor or account owner.

FATCAStatus <FATCASts> contains the following elements (see [FATCAStatus2](#) on page 2587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2588
{Or	Code <Cd>	[1..1]	CodeSet		2588
Or}	Proprietary <Prtry>	[1..1]	±		2588
	Source <Src>	[0..1]			2589
{Or	Code <Cd>	[1..1]	CodeSet		2589
Or}	Proprietary <Prtry>	[1..1]	±		2589

76.1.25.13.12 FATCAReportingDate <FATCARptgDt>

Presence: [0..1]

Definition: Date provided by the account owner to inform the account servicer of the date on which the holdings must be reported before the account is subsequently closed.

Datatype: [ISODate](#) on page 3391

76.1.25.13.13 CRSFormType <CRSFormTp>

Presence: [0..*]

Definition: Type of Common Reporting Standard (CRS) form submitted by the investor or account owner.

CRSFormType <CRSFormTp> contains one of the following elements (see [CRSForm1Choice](#) on page 2586 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2586
Or}	Proprietary <Prtry>	[1..1]	±		2587

76.1.25.13.14 CRSStatus <CRSSts>

Presence: [0..*]

Definition: Common Reporting Standard (CRS) status of the investor or account owner.

CRSStatus <CRSSts> contains the following elements (see [CRSStatus4](#) on page 2583 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2583
{Or	Code <Cd>	[1..1]	CodeSet		2584
Or}	Proprietary <Prtry>	[1..1]	±		2585
	Source <Src>	[0..1]			2585
{Or	Code <Cd>	[1..1]	CodeSet		2585
Or}	Proprietary <Prtry>	[1..1]	±		2586
	ExceptionalReportingCountry <XcptnlRptgCtry>	[0..1]	CodeSet	C11	2586

76.1.25.13.15 CRSReportingDate <CRSRptgDt>

Presence: [0..1]

Definition: Date provided by the account owner to inform the account servicer of the date on which the holdings must be reported before the account is subsequently closed.

Datatype: [ISODate](#) on page 3391

76.1.25.13.16 OtherIdentification <Othrid>

Presence: [0..*]

Definition: Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

OtherIdentification <Othrlid> contains the following elements (see [GenericIdentification82](#) on page 2007 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2008
	Type <Tp>	[1..1]			2008
{Or	Code <Cd>	[1..1]	CodeSet		2008
Or}	Proprietary <Prtry>	[1..1]	±		2009
	Issuer <Issr>	[0..1]	Text		2009
	IssueDate <IssDt>	[0..1]	Date		2010
	ExpiryDate <XpryDt>	[0..1]	Date		2010
	State <Stat>	[0..1]	Text		2010
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2010

76.1.25.13.17 TaxExemption <TaxXmptn>

Presence: [0..1]

Definition: Tax advantage specific to the account party.

TaxExemption <TaxXmptn> contains one of the following elements (see [TaxExemptionReason2Choice](#) on page 3125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3129

76.1.25.13.18 TaxReporting <TaxRptg>

Presence: [0..*]

Definition: Details for the reporting of tax, for example, the country of taxation.

TaxReporting <TaxRptg> contains the following elements (see [TaxReporting3](#) on page 3082 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C11	3083
	TaxRate <TaxRate>	[0..1]	Rate		3084
	TaxPayer <TaxPyer>	[0..1]	±		3084
	TaxRecipient <TaxRcpt>	[0..1]	±		3084
	CashAccountDetails <CshAcctDtls>	[0..1]			3084
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	3085
	Identification <Id>	[1..1]	±		3086
	AccountOwner <AcctOwnr>	[0..1]	±		3086
	AccountServicer <AcctSvcr>	[0..1]	±		3086
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		3087
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		3087
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		3088
	CreditDebit <CdtDbt>	[0..1]	CodeSet		3088
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			3088
{Or	Code <Cd>	[1..1]	CodeSet		3089
Or}	Proprietary <Prtry>	[1..1]	±		3089
	CashAccountPurpose <CshAcctPurp>	[0..1]			3090
{Or	Code <Cd>	[1..1]	CodeSet		3090
Or}	Proprietary <Prtry>	[1..1]	±		3090
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			3091
{Or	Code <Cd>	[1..1]	CodeSet		3091
Or}	Proprietary <Prtry>	[1..1]	±		3091
	DividendPercentage <DvddPctg>	[0..1]	Rate		3091
	Description <Desc>	[0..1]	Text		3091

76.1.25.13.19 Language <Lang>

Presence: [0..1]

Definition: Language in which the organisation or person communicates.

Impacted by: [C34 ValidationByTable](#)

Datatype: [LanguageCode](#) on page 3313

Constraints

- **ValidationByTable**

(Rule)

Must be a valid terrestrial language.

76.1.25.13.20 MailType <MailTp>

Presence: [0..1]

Definition: Method used for postal mailing.

MailType <MailTp> contains one of the following elements (see [MailType1Choice](#) on page 2582 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2583
Or}	Proprietary <Prtry>	[1..1]	±		2583

76.1.25.13.21 CountryAndResidentialStatus <CtryAndResdtlSts>

Presence: [0..1]

Definition: Country and residential status of the organisation or individual person.

CountryAndResidentialStatus <CtryAndResdtlSts> contains the following elements (see [CountryAndResidentialStatusType2](#) on page 2582 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2582
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		2582

76.1.25.13.22 MonetaryWealth <MntryWith>

Presence: [0..1]

Definition: Annual wealth of the individual person or share capital value of the legal entity and date on which the annual wealth of the individual person was registered or declared or the date the stock value of the organisation was registered.

MonetaryWealth <MntryWith> contains the following elements (see [DateAndAmount1](#) on page 1613 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1613
	Amount <Amt>	[1..1]	Amount	C2, C10	1613

76.1.25.13.23 EquityValue <EqtyVal>

Presence: [0..1]

Definition: Amount of total assets minus liabilities of the individual person or the amount of the difference between assets and liabilities plus rights over obligations (net equity) of the organisation and the date on which the equity value was registered.

EquityValue <EqtyVal> contains the following elements (see [DateAndAmount1](#) on page 1613 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1613
	Amount <Amt>	[1..1]	Amount	C2, C10	1613

76.1.25.13.24 WorkingCapital <WorkgCptl>

Presence: [0..1]

Definition: Resource or value owned or used by a third-party company and the date on which the working capital amount was registered.

WorkingCapital <WorkgCptl> contains the following elements (see [DateAndAmount1](#) on page 1613 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1613
	Amount <Amt>	[1..1]	Amount	C2, C10	1613

76.1.25.13.25 CompanyLink <CpnyLk>

Presence: [0..1]

Definition: Account owner's connection with the trading party or broker.

CompanyLink <CpnyLk> contains one of the following elements (see [CompanyLink1Choice](#) on page 2580 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2581
Or}	Proprietary <Prtry>	[1..1]	±		2581

76.1.25.13.26 ElectronicMailingServiceReference <ElctrncMIngSvcRef>

Presence: [0..1]

Definition: Reference to be specified when a letter, for example, an order confirmation, is sent by an automated mailing system.

Datatype: [Max350Text](#) on page 3409

76.1.25.13.27 PrimaryCommunicationAddress <PmryComAdr>

Presence: [0..*]

Definition: Communication device number or electronic address used for communication.

PrimaryCommunicationAddress <PmryComAdr> contains the following elements (see [CommunicationAddress6 on page 1609](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1609
{Or	Code <Cd>	[1..1]	CodeSet		1610
Or}	Proprietary <Prtry>	[1..1]	±		1610
	Email <Email>	[0..1]	Text		1610
	Phone <Phne>	[0..1]	Text		1610
	Mobile <Mob>	[0..1]	Text		1610
	FaxNumber <FaxNb>	[0..1]	Text		1611
	TelexAddress <TlxAdr>	[0..1]	Text		1611
	URLAddress <URLAdr>	[0..1]	Text		1611

76.1.25.13.28 SecondaryCommunicationAddress <ScndryComAdr>

Presence: [0..*]

Definition: Communication device number or electronic address used for communication.

SecondaryCommunicationAddress <ScndryComAdr> contains the following elements (see [CommunicationAddress6 on page 1609](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1609
{Or	Code <Cd>	[1..1]	CodeSet		1610
Or}	Proprietary <Prtry>	[1..1]	±		1610
	Email <Email>	[0..1]	Text		1610
	Phone <Phne>	[0..1]	Text		1610
	Mobile <Mob>	[0..1]	Text		1610
	FaxNumber <FaxNb>	[0..1]	Text		1611
	TelexAddress <TlxAdr>	[0..1]	Text		1611
	URLAddress <URLAdr>	[0..1]	Text		1611

76.1.25.13.29 AdditionalRegulatoryInformation <AddtlRgltryInf>

Presence: [0..1]

Definition: Additional regulatory information about the investor or account owner that is required in some markets to support anti-money laundering laws.

AdditionalRegulatoryInformation <AddtlRgltryInf> contains the following elements (see [RegulatoryInformation1](#) on page 2580 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Sector <Sctr>	[0..1]	Text		2580
	Branch <Brnch>	[0..1]	Text		2580
	Group <Grp>	[0..1]	Text		2580
	Other <Othr>	[0..1]	Text		2580

76.1.25.13.30 AccountingStatus <AcctgSts>

Presence: [0..1]

Definition: Specifies if the account party is regarded as domestic or non-domestic for reporting purposes.

AccountingStatus <AcctgSts> contains one of the following elements (see [AccountingStatus1Choice](#) on page 3052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3052
Or}	Proprietary <Prtry>	[1..1]	±		3053

76.1.25.13.31 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information such as remarks or notes that must be conveyed about the party and or limitations and restrictions.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation13](#) on page 2376 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		2377
	AdditionalInformation <AddtlInf>	[0..1]	Text		2377
	AccountValidation <AcctVldtn>	[0..1]	Text		2377
	Type <Tp>	[0..1]	Text		2377
	Regulator <Rgltr>	[0..1]	±		2377
	Status <Sts>	[0..1]			2378
{Or	Code <Cd>	[1..1]	CodeSet		2378
Or}	Proprietary <Prtry>	[1..1]	±		2378
	Period <Prd>	[0..1]			2378
	FromDateTime <FrDtTm>	[1..1]	DateTime		2379
	ToDateTime <ToDtTm>	[0..1]	DateTime		2379

76.1.25.13.32 ControllingParty <CtrlgPty>

Presence: [0..1]

Definition: Party is the controlling person.

(For an Entity that is a legal person, the term "Controlling Persons" means the natural person(s) who exercises control over the Entity. "Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the Entity. A "control ownership interest" depends on the ownership structure of the legal person and is usually identified on the basis of a threshold applying a risk-based approach (e.g. any person(s) owning more than a certain percentage of the legal person, such as 25%). Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be the natural person(s) who holds the position of senior managing official.).

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.25.14 Reinvestment4

Definition: Reinvestment information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	2141
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C2	2142
	ReinvestmentPercentage <RinvstmtPctg>	[1..1]	Rate		2142

76.1.25.14.1 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund for the reinvestment.

Impacted by: [C20 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument87](#) on page 1877 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1878
	Name <Nm>	[0..1]	Text		1879
	ShortName <ShrtNm>	[0..1]	Text		1879
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1879
	ClassType <ClsTp>	[0..1]	Text		1880
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1880
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1880
	ProductGroup <PdctGrp>	[0..1]	Text		1880
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1880
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1882
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1882
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1882
	Pledging <Pldgg>	[0..1]	CodeSet		1882
	Collateral <Coll>	[0..1]	CodeSet		1883
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1883
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1883
	FundIntention <FndIntntn>	[0..1]	CodeSet		1883
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1884

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.25.14.2 RequestedNAVCurrency <ReqdNAVCCy>

Presence: [0..1]

Definition: Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.25.14.3 ReinvestmentPercentage <RinvstmtPctg>

Presence: [1..1]

Definition: Percentage of the reinvestment.

Datatype: PercentageRate on page 3406

76.1.25.15 ThirdPartyRights2

Definition: Information about third party rights.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2143
	DateTime <DtTm>	[0..1]	DateTime		2143
	Holder <Hldr>	[0..1]	±		2143
	LegalEntityIdentifier <LglnTtyldr>	[0..1]	IdentifierSet		2143
	Amount <Amt>	[0..1]	Amount	C2, C10	2143
	Description <Desc>	[0..1]	Text		2144

76.1.25.15.1 Type <Tp>

Presence: [1..1]

Definition: Type of third party right.

Datatype: [Max35Text on page 3409](#)

76.1.25.15.2 DateTime <DtTm>

Presence: [0..1]

Definition: Timestamp for the third party right.

Datatype: [ISODatetime on page 3391](#)

76.1.25.15.3 Holder <Hldr>

Presence: [0..1]

Definition: Party that holds the third party right.

Holder <Hldr> contains one of the following elements (see [PartyIdentification125Choice on page 2618](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <Prtryld>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.25.15.4 LegalEntityIdentifier <LglnTtyldr>

Presence: [0..1]

Definition: Identification of the holder with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Datatype: [LEIIdentifier on page 3400](#)

76.1.25.15.5 Amount <Amt>

Presence: [0..1]

Definition: Amount of the third party right.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.25.15.6 Description <Desc>

Presence: [0..1]

Definition: Description of the third party right.

Datatype: Max350Text on page 3409

76.1.25.16 SubAccount6

Definition: Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2145
	Name <Nm>	[0..1]	Text		2145
	Characteristic <Chrtc>	[0..1]	Text		2145
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2145

76.1.25.16.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text on page 3409](#)

76.1.25.16.2 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text on page 3409](#)

76.1.25.16.3 Characteristic <Chrtc>

Presence: [0..1]

Definition: Additional properties of the account.

Datatype: [Max35Text on page 3409](#)

76.1.25.16.4 AccountDesignation <AcctDsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text on page 3409](#)

76.1.25.17 CustomerConductClassification1Choice

Definition: Choice of formats for the specification of the customer conduct classification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2145
Or}	Proprietary <Prtry>	[1..1]	±		2146

76.1.25.17.1 Code <Cd>

Presence: [1..1]

Definition: Conduct type expressed as a code.

Datatype: [ConductClassification1Code on page 3263](#)

CodeName	Name	Definition
NSTA	NonStandard	Non standard or unusual.
RCLT	Reluctant	Reluctant.
STAN	Standard	Standard.

76.1.25.17.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Conduct type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.25.18 AccountUsageType2Choice

Definition: Choice of formats for the specification of the type of account usage.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2146
Or}	Proprietary <Prtry>	[1..1]	±		2146

76.1.25.18.1 Code <Cd>

Presence: [1..1]

Definition: Type of account usage expressed as a code.

Datatype: [AccountUsageType2Code](#) on page 3246

CodeName	Name	Definition
INVE	Investor	Investor.
ISSP	IssuingParticipant	Issuing participant.
SETP	SettlementParticipant	Settlement participant.
TRDP	TradingParticipant	Trading participant.

76.1.25.18.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of account usage expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.25.19 OwnershipType2Choice

Definition: Choice of formats for the specification of the ownership type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2147
Or}	Proprietary <Prtry>	[1..1]	±		2148

76.1.25.19.1 Code <Cd>

Presence: [1..1]

Definition: Ownership type expressed as a code.

Datatype: [AccountOwnershipType4Code](#) on page 3243

CodeName	Name	Definition
UNCO	Unincorporated	Account owner is an unincorporated partnership or is of sole proprietorship.
LIPA	LimitedPartnership	Account owner is a limited partnership or is of sole proprietorship.
ENTR	Entrepreneurial	Entrepreneurial account.
CORP	Corporation	Account owner is a corporate.
CUST	CustodialAccount	Minor's account, registered in the minor's name. Since the minor cannot legally own property, the custodian of the account maintains control of the account.
EURE	EUResidualEntity	Account owner is an entity located in the European Union which can be considered neither as a legal entity (for example, company, corporate), nor as an individual person, nor as a UCITS (Undertakings for Collective Investment of Transferable Securities) fund.
PART	FormalPartnership	Account owner is a contractual business organisation in which two or more individuals agree to pool their funds to manage and operate a business.
TRUS	FormalTrust	Account owner is an organisation which is engaged as a trustee for individuals or businesses in the administration of services such as stock transfer, registration, trust funds.
GOVO	GovernmentOrganisation	Account owner is a government organisation.
JOIT	JointAccount	Two or more individuals of legal age own shares of the same account.
COMO	JointAccountInCommon	Two or more individuals of legal age own shares of the same account. Upon the death of one of the account owners, the respective percentage of the ownership is transferred to the deceased's estate.

CodeName	Name	Definition
JOIN	JointAccountWithSurvivorshipRights	Two or more individuals own shares of the same account. Upon the death of one of the account owners, the entire account ownership is passed onto the surviving owners.
LLCO	LimitedLiabilityCompany	Account is for a limited liability company.
NOMI	Nominee	Account owner is a person or firm into whose name securities or other properties are transferred in order to facilitate transactions whilst leaving the customer as the actual owner.
NFPO	NonProfitOrganisation	Account owner is an association that is given tax-free status due to the nature of their activities such as charity organisation.
ONIS	OtherNonIndividual	Account owner is another type of non individual organisation.
RGIC	RegisteredInvestmentCompany	Account is for a registered investment company.
SIGL	SingleOwnerAccount	Account has only one individual owner.

76.1.25.19.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Ownership type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.25.20 InvestmentAccountType1Choice

Definition: Choice of formats for the specification of the investment account type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2148
Or}	Proprietary <Prtry>	[1..1]	±		2149

76.1.25.20.1 Code <Cd>

Presence: [1..1]

Definition: Investment account type expressed as a code.

Datatype: [FundCashAccount2Code](#) on page 3282

CodeName	Name	Definition
CASH	CashAccount	Cash account.
CPFO	PensionFundOrdinary	Central Provident Fund (CPF) ordinary account.
CPFS	PensionFundSpecial	Central Provident Fund (CPF) special account.
SRSA	RetirementScheme	Supplementary Retirement Scheme (SRS) account.

76.1.25.20.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Investment account type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchemeNm>	[0..1]	Text		2015

76.1.25.21 InvestmentAccount58

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**
(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

76.1.25.21.1 AccountIdentification <AcctId>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text on page 3409](#)

76.1.25.21.2 AccountName <AcctNm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text on page 3409](#)

76.1.25.21.3 AccountDesignation <AcctDsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to reconciled individually.

Datatype: [Max35Text on page 3409](#)

76.1.25.21.4 OwnerIdentification <OwnrId>

Presence: [0..*]

Definition: Party that legally owns the account.

OwnerIdentification <OwnrId> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.25.21.5 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.25.21.6 OrderOriginatorEligibility <OrdOrgtrElgblty>

Presence: [0..1]

Definition: Counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.

Datatype: [OrderOriginatorEligibility1Code](#) on page 3317

CodeName	Name	Definition
ELIG	Eligible	Eligible counterparty - MiFID classification of counterparty. Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules defined under MiFID.
RETL	Retail	Retail client - MiFID classification of counterparty. Retail customers are the least sophisticated level of investor.
PROF	Professional	Professional client - MiFID classification of counterparty. Professional customers are, for example, investment firms, credit institutions, insurance companies.

76.1.25.21.7 SubAccountDetails <SubAcctDtls>

Presence: [0..1]

Definition: Sub-account of the master or omnibus account.

SubAccountDetails <SubAcctDtls> contains the following elements (see [SubAccount6](#) on page 2144 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2145
	Name <Nm>	[0..1]	Text		2145
	Characteristic <Chrtc>	[0..1]	Text		2145
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2145

76.1.25.22 InvestmentAccountCategory1Choice

Definition: Choice of formats for the specification of the category of investment account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2152
Or}	Proprietary <Prtry>	[1..1]	±		2152

76.1.25.22.1 Code <Cd>

Presence: [1..1]

Definition: Category of investment account expressed as a code.

Datatype: [InvestmentAccountCategory1Code on page 3294](#)

CodeName	Name	Definition
MAND	MandateAccount	Account is fully managed by the financial institution, that is, an investor gives a 'mandate' to the financial institution to execute a mutually agreed investment strategy on its behalf.
RETA	RetailAccount	Account is a standard account managed by the investor. The investor issues instructions for the account to the financial institution.

76.1.25.22.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Category of investment account expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.25.23 InvestmentAccount30

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

76.1.25.23.1 Account <Acct>

Presence: [1..1]

Definition: Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Account <Acct> contains the following elements (see [SecuritiesAccount5](#) on page 1592 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1592
	Name <Nm>	[0..1]	Text		1592

76.1.25.23.2 Designation <Dsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text](#) on page 3409

76.1.25.23.3 Owner <Ownr>

Presence: [0..*]

Definition: Party that legally owns the account.

Owner <Ownr> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.25.23.4 Servicer <Svcr>

Presence: [0..1]

Definition: Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

Servicer <Svcr> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.25.23.5 SubAccount <SubAcct>

Presence: [0..1]

Definition: Sub-accounts that are grouped in a master or omnibus account.

SubAccount <SubAcct> contains the following **SubAccount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

76.1.25.23.5.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text](#) on page 3409

76.1.25.23.5.2 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max70Text](#) on page 3410

76.1.25.23.5.3 Characteristic <Chrtc>

Presence: [0..1]

Definition: Specifies additional properties of the account.

Datatype: [Max35Text](#) on page 3409

76.1.25.24 InvestmentAccount15

Definition: Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	±		2155
	Type <Tp>	[0..1]		C24	2155
	Structured <Strd>	[1..1]	CodeSet		2155
	AdditionalInformation <AddtlInf>	[0..1]	Text		2156

76.1.25.24.1 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

AccountIdentification <AcctId> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

76.1.25.24.2 Type <Tp>

Presence: [0..1]

Definition: Account type.

Impacted by: [C24 OtherCodeRule](#)

Type <Tp> contains the following **CashAccountType1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		2155
	AdditionalInformation <AddtlInf>	[0..1]	Text		2156

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

76.1.25.24.2.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: [FundCashAccount1Code](#) on page 3282

CodeName	Name	Definition
CASH	CashAccount	Cash account.
CPFO	PensionFundOrdinary	Central Provident Fund (CPF) ordinary account.
CPFS	PensionFundSpecial	Central Provident Fund (CPF) special account.
SRSA	RetirementScheme	Supplementary Retirement Scheme (SRS) account.
OTHR	Other	Another type cash account.

76.1.25.24.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the type of tax.

Datatype: [Max350Text on page 3409](#)

76.1.26 InvestmentFundCashForecast

76.1.26.1 Fund2

Definition: Information about an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2158
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2158
	Identification <Id>	[0..1]			2158
	Identification <Id>	[1..1]	Text		2159
	Type <Tp>	[1..1]	±		2159
	Currency <Ccy>	[0..1]	CodeSet	C3	2159
	TradeDateTime <TradDtTm>	[0..1]	±		2159
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		2160
	TotalNAV <TtlNAV>	[0..1]	Amount	C3, C12	2160
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	2161
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2161
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		2162
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		2162
	CashInForecastDetails <CshInFcstDtIs>	[0..*]	±		2162
	CashOutForecastDetails <CshOutFcstDtIs>	[0..*]	±		2162
	NetCashForecastDetails <NetCshFcstDtIs>	[0..*]			2163
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		2163
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	2163
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		2164
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		2164

Constraints

• **FundIdentification1Rule**

(Rule)

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
Or
  /LegalEntityIdentifier Must be present
```

Error handling:

- Error severity: Fatal
- Error Code: X00348

– *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification2Rule**

(Rule)

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

On Condition
 /Name is absent
Following Must be True
 /Identification Must be present
Or /LegalEntityIdentifier Must be absent

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00349

– *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification3Rule**

(Rule)

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

On Condition
 /LegalEntityIdentifier is absent
Following Must be True
 /Identification Must be present
Or /Name Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00350

– *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

76.1.26.1.1 Name <Nm>

Presence: [0..1]

Definition: Name of the fund/sub fund.

Datatype: Max350Text on page 3409

76.1.26.1.2 LegalEntityIdentifier <LgINttyldr>

Presence: [0..1]

Definition: Identification of the fund/sub fund with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Datatype: LEIIdentifier on page 3400

76.1.26.1.3 Identification <ld>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the fund/sub fund, assigned under a formal or proprietary identification scheme.

Identification <Id> contains the following **OtherIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2159
	Type <Tp>	[1..1]	±		2159

76.1.26.1.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification of the fund/sub fund.

Datatype: Max35Text on page 3409

76.1.26.1.3.2 Type <Tp>

Presence: [1..1]

Definition: Identification source.

Type <Tp> contains one of the following elements (see IdentificationSource5Choice on page 1999 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	1999
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		2000

76.1.26.1.4 Currency <Ccy>

Presence: [0..1]

Definition: Currency of the fund/sub fund.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.26.1.5 TradeDateTime <TradDtTm>

Presence: [0..1]

Definition: Date and, if required, the time, at which the price will be applied.

TradeDateTime <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.26.1.6 PreviousTradeDateTime <PrvsTradDtTm>

Presence: [0..1]

Definition: Previous date and time at which the price was applied.

PreviousTradeDateTime <PrvsTradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.26.1.7 TotalNAV <TtINAV>

Presence: [0..1]

Definition: Total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

Impacted by: [C3 ActiveOrHistoricCurrency](#), [C12 CurrencyAmount](#)

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.1.8 PreviousTotalNAV <PrvsTtlNAV>

Presence: [0..1]

Definition: Previous total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.1.9 TotalUnitsNumber <TtlUnitsNb>

Presence: [0..1]

Definition: Total number of units of the fund/sub fund.

TotalUnitsNumber <TtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.1.10 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

Presence: [0..1]

Definition: Previous total number of units of the fund/sub fund.

PreviousTotalUnitsNumber <PrvsTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.1.11 PercentageOfFundTotalNAV <PctgOfFndTtlNAV>

Presence: [0..1]

Definition: Consolidated net cash flow expressed as a percentage of the total NAV for the fund/sub fund.

Datatype: [PercentageRate](#) on page 3406

76.1.26.1.12 CashInForecastDetails <CshInFcstDtIs>

Presence: [0..*]

Definition: Cash movement into the fund/sub fund.

CashInForecastDetails <CshInFcstDtIs> contains the following elements (see [CashInOutForecast7](#) on page 2164 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		2164
	Amount <Amt>	[1..1]	Amount	C3, C12	2164

76.1.26.1.13 CashOutForecastDetails <CshOutFcstDtIs>

Presence: [0..*]

Definition: Cash movement out of the fund/sub fund.

CashOutForecastDetails <CshOutFcstDtIs> contains the following elements (see [CashInOutForecast7](#) on page 2164 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		2164
	Amount <Amt>	[1..1]	Amount	C3, C12	2164

76.1.26.1.14 NetCashForecastDetails <NetCshFcstDtIs>

Presence: [0..*]

Definition: Net cash as a result of the cash-in and cash-out flows.

NetCashForecastDetails <NetCshFcstDtIs> contains the following **NetCashForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		2163
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	2163
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		2164
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		2164

76.1.26.1.14.1 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

76.1.26.1.14.2 NetAmount <NetAmt>

Presence: [0..1]

Definition: Net amount of the cash flow, expressed as an amount of money.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.1.14.3 NetUnitsNumber <NetUnitsNb>

Presence: [0..1]

Definition: Net amount, expressed as a number of units.

NetUnitsNumber <NetUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.1.14.4 FlowDirection <FlowDrctn>

Presence: [1..1]

Definition: Specifies the direction of the cash flow from the perspective of the fund.

Datatype: [FlowDirectionType1Code](#) on page 3281

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

76.1.26.2 CashInOutForecast7

Definition: Cash movements into or out of a fund as a result of investment funds transactions, for example, subscriptions, redemptions or switches.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		2164
	Amount <Amt>	[1..1]	Amount	C3, C12	2164

76.1.26.2.1 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: [ISODate](#) on page 3391

76.1.26.2.2 Amount <Amt>

Presence: [1..1]

Definition: Amount of the cash flow.

Impacted by: [C3 ActiveOrHistoricCurrency](#), [C12 CurrencyAmount](#)

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.3 EstimatedFundCashForecast5

Definition: Cash movements from or to a fund as a result of investment funds transactions, eg, subscriptions or redemptions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2167
	TradeDateTime <TradDtTm>	[1..1]	±		2167
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		2167
	FinancialInstrumentDetails <FinInstrmDtIs>	[1..1]	±	C13	2167
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..*]	Amount	C3, C12	2168
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	2169
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		2169
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		2170
	EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>	[0..1]	Rate		2170
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	2170
	CurrencyStatus <CcySts>	[0..1]	±		2170
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		2171
	Price <Pric>	[0..1]	±		2171
	ForeignExchangeRate <FXRate>	[0..1]	±		2171
	EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClssTtlNAV>	[0..1]	Rate		2172
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		2172
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		2172
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		2173
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	2174
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtIs>	[0..*]	±	C7	2175

Constraints

• **ExceptionalCashFlowIndicatorRule**

(Rule)

If ExceptionalNetCashFlowIndicator is "true" or "1" (Yes), then at least one or more of the following must be present:

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or
 BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or
 BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or
 BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or
 BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

76.1.26.3.1 Identification <Id>

Presence: [1..1]

Definition: Unique technical identifier for an instance of a fund cash forecast within a fund cash forecast report as assigned by the issuer of the report.

Datatype: Max35Text on page 3409

76.1.26.3.2 TradeDateTime <TradDtTm>

Presence: [1..1]

Definition: Date and, if required, the time, at which the price will be applied.

TradeDateTime <TradDtTm> contains one of the following elements (see DateAndDateTimeChoice on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.26.3.3 PreviousTradeDateTime <PrvsTradDtTm>

Presence: [0..1]

Definition: Previous date and time at which the price was applied.

PreviousTradeDateTime <PrvsTradDtTm> contains one of the following elements (see DateAndDateTimeChoice on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.26.3.4 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class to which the cash flow is related.

Impacted by: C13 FinancialInstrumentIdentificationGuideline

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument9 on page 1903](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1903
	Name <Nm>	[0..1]	Text		1904
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1904
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C3	1904
	ClassType <ClsTp>	[0..1]	Text		1905
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1905
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1905
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1906

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

76.1.26.3.5 EstimatedTotalNAV <EstmtdTtlNAV>

Presence: [0..*]

Definition: Estimated total value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.3.6 PreviousTotalNAV <PrvsTtlNAV>

Presence: [0..*]

Definition: Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.3.7 EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>

Presence: [0..1]

Definition: Estimated total number of investment fund class units that have been issued.

EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.3.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

Presence: [0..1]

Definition: Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

PreviousTotalUnitsNumber <PrvsTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.3.9 EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>

Presence: [0..1]

Definition: Rate of change of the net asset value.

Datatype: [PercentageRate](#) on page 3406

76.1.26.3.10 InvestmentCurrency <InvstmtCcy>

Presence: [0..*]

Definition: Currency of the investment fund class.

Impacted by: [C3 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyCode](#) on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.26.3.11 CurrencyStatus <CcySts>

Presence: [0..1]

Definition: Information about the designation of the share class currency, that is, whether it is for onshore or offshore purposes and other information that may be required. This is typically only required for CNY funds.

CurrencyStatus <CcySts> contains the following elements (see [CurrencyDesignation1](#) on page 2381 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		2382
	Location <Lctn>	[0..1]	CodeSet	C11	2382
	AdditionalInformation <AddtlInf>	[0..1]	Text		2382

76.1.26.3.12 ExceptionalNetCashFlowIndicator <XcptnINetCshFlowInd>

Presence: [1..1]

Definition: Indicates whether the estimated net cash flow is exceptional.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.26.3.13 Price <Pric>

Presence: [0..1]

Definition: Price per unit of the previous trade date.

Price <Pric> contains the following elements (see [UnitPrice19](#) on page 2868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2868
{Or	Code <Cd>	[1..1]	CodeSet		2868
Or}	Proprietary <Prtry>	[1..1]	±		2869
	Value <Val>	[1..1]	±		2870

76.1.26.3.14 ForeignExchangeRate <FXRate>

Presence: [0..1]

Definition: Foreign exchange rate.

ForeignExchangeRate <FXRate> contains the following elements (see [ForeignExchangeTerms19](#) on page 1988 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1989
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1989
	ExchangeRate <XchgRate>	[1..1]	Rate		1990

76.1.26.3.15 EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClsTtlNAV>

Presence: [0..1]

Definition: Estimated net cash flow expressed as a percentage of the previous total NAV for the share class.

Datatype: [PercentageRate](#) on page 3406

76.1.26.3.16 BreakdownByParty <BrkdwnByPty>

Presence: [0..*]

Definition: Estimated cash flow by party.

BreakdownByParty <BrkdwnByPty> contains the following elements (see [BreakdownByParty3](#) on page 2443 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]		C1, C2	2443
	AccountIdentification <AcctId>	[0..1]	±		2444
	OwnerIdentification <OwnrId>	[0..1]	±		2445
	AccountServicer <AcctSvcr>	[0..1]	±		2445
	AdditionalParameters <AddtlParams>	[0..1]	±		2445
	CashInForecast <CshInFcst>	[0..*]		C5	2446
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2446
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2446
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2447
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2447
	CashInBreakdownDetails <CshInBrkdwnDtIs>	[0..*]	±		2448
	AdditionalBalance <AddtlBal>	[0..1]	±		2448
	CashOutForecast <CshOutFcst>	[0..*]		C6	2449
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2449
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2449
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2450
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2450
	CashOutBreakdownDetails <CshOutBrkdwnDtIs>	[0..*]	±		2451
	AdditionalBalance <AddtlBal>	[0..1]	±		2451
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2452

76.1.26.3.17 BreakdownByCountry <BrkdwnByCtry>

Presence: [0..*]

Definition: Estimated cash flow by country.

BreakdownByCountry <BrkdwnByCtry> contains the following elements (see [BreakdownByCountry2](#) on page 2435 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2435
	CashInForecast <CshInFcst>	[0..*]		C5	2436
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2437
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2437
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2437
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2438
	CashInBreakdownDetails <CshInBrkdwnDtIs>	[0..*]	±		2438
	AdditionalBalance <AddtlBal>	[0..1]	±		2438
	CashOutForecast <CshOutFcst>	[0..*]		C6	2439
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2440
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2440
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2440
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2441
	CashOutBreakdownDetails <CshOutBrkdwnDtIs>	[0..*]	±		2441
	AdditionalBalance <AddtlBal>	[0..1]	±		2441
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2442

76.1.26.3.18 BreakdownByCurrency <BrkdwnByCcy>

Presence: [0..*]

Definition: Estimated cash flow by currency.

BreakdownByCurrency <BrkdnByCcy> contains the following elements (see [BreakdownByCurrency2](#) on page 2426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C3	2427
	CashOutForecast <CshOutFcst>	[0..*]		C6	2428
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2428
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2428
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2429
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2429
	CashOutBreakdownDetails <CshOutBrkdnDtls>	[0..*]	±		2430
	AdditionalBalance <AddtlBal>	[0..1]	±		2430
	CashInForecast <CshInFcst>	[0..*]		C5	2431
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2432
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2432
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2432
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2433
	CashInBreakdownDetails <CshInBrkdnDtls>	[0..*]	±		2433
	AdditionalBalance <AddtlBal>	[0..1]	±		2433
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2434

76.1.26.3.19 BreakdownByUserDefinedParameter <BrkdnByUsrDfndParam>

Presence: [0..*]

Definition: Estimated cash flow by a user defined parameter/s.

Impacted by: [C17 UserDefinedRule](#)

BreakdownByUserDefinedParameter <BrkdwByUsrDfndParam> contains the following elements
 (see [BreakdownByUserDefinedParameter3](#) on page 2415 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[0..1]		C1, C2	2416
	AccountIdentification <AcctId>	[0..1]	±		2417
	OwnerIdentification <OwnrId>	[0..1]	±		2418
	AccountServicer <AcctSvcr>	[0..1]	±		2418
	Country <Ctry>	[0..1]	CodeSet	C11	2418
	Currency <Ccy>	[0..1]	CodeSet	C3	2419
	UserDefined <UsrDfnd>	[0..1]	±		2419
	CashInForecast <CshInFcst>	[0..*]		C5	2419
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2420
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2420
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2421
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2421
	CashInBreakdownDetails <CshInBrkdwDtls>	[0..*]	±		2421
	AdditionalBalance <AddtlBal>	[0..1]	±		2422
	CashOutForecast <CshOutFcst>	[0..*]		C6	2422
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2423
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2423
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2424
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2424
	CashOutBreakdownDetails <CshOutBrkdwDtls>	[0..*]	±		2424
	AdditionalBalance <AddtlBal>	[0..1]	±		2425
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2425

Constraints

- **UserDefinedRule**

(Rule)

At least one message element in the list (Party, Country, Currency, UserDefined) must be present.
 More than one element in the list (Party, Country, Currency, UserDefined) may be present.

76.1.26.3.20 EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>

Presence: [0..*]

Definition: Estimated net cash movements per financial instrument.

Impacted by: C7 AdditionalBalanceRule

EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls> contains the following elements (see NetCashForecast4 on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1734
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1734
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1735
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1735
	AdditionalBalance <AddtlBal>	[0..1]	±		1736

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

 /AdditionalBalance is present

Following Must be True

 /AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.26.4 FundCashForecast7

Definition: Cash movements from or to a fund as a result of investment funds transactions, eg, subscriptions or redemptions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2177
	TradeDateTime <TradDtTm>	[1..1]	±		2177
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		2178
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	2178
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	2179
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	2179
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2180
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		2180
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		2180
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	2181
	CurrencyStatus <CcySts>	[0..1]	±		2181
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		2181
	Price <Pric>	[0..1]	±		2181
	ForeignExchangeRate <FXRate>	[0..1]	±		2182
	PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>	[0..1]	Rate		2182
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±	C3	2182
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±	C4	2183
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C7	2184

Constraints

- **ExceptionalCashFlowIndicatorRule**

(Rule)

If Exceptional NetCashFlow Indicator is "true" or "1" (Yes), then CashInForecastDetails/ ExceptionalCashFlowIndicator and CashOutForecastDetails/ ExceptionalCashFlowIndicator must be present.

76.1.26.4.1 Identification <Id>

Presence: [1..1]

Definition: Unique technical identifier for an instance of a fund cash forecast within a fund cash forecast report as assigned by the issuer of the report.

Datatype: [Max35Text on page 3409](#)

76.1.26.4.2 TradeDateTime <TradDtTm>

Presence: [1..1]

Definition: Date and, if required, the time, at which the price has been applied.

TradeDateTime <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.26.4.3 PreviousTradeDateTime <PrvsTradDtTm>

Presence: [0..1]

Definition: Previous date and time at which the price was applied.

PreviousTradeDateTime <PrvsTradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.26.4.4 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class to which a cash flow is related.

Impacted by: [C13 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument9](#) on page 1903 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1903
	Name <Nm>	[0..1]	Text		1904
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1904
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C3	1904
	ClassType <ClsTp>	[0..1]	Text		1905
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1905
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1905
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1906

Constraints

- **FinancialInstrumentIdentificationGuideline**
(Guideline)

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

76.1.26.4.5 TotalNAV <TtINAV>

Presence: [0..*]

Definition: Total value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.4.6 PreviousTotalNAV <PrvsTtINAV>

Presence: [0..*]

Definition: Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.4.7 TotalUnitsNumber <TtlUnitsNb>

Presence: [0..1]

Definition: Total number of investment fund class units that have been issued.

TotalUnitsNumber <TtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.4.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

Presence: [0..1]

Definition: Previous total number of investment fund class units that have been issued.

PreviousTotalUnitsNumber <PrvsTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.4.9 TotalNAVChangeRate <TtlNAVChngRate>

Presence: [0..1]

Definition: Rate of change of the net asset value.

Datatype: [PercentageRate](#) on page 3406

76.1.26.4.10 InvestmentCurrency <InvstmtCcy>

Presence: [0..*]

Definition: Currency of the investment fund class.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.26.4.11 CurrencyStatus <CcySts>

Presence: [0..1]

Definition: Information about the designation of the share class currency, that is, whether it is for onshore or offshore purposes and other information that may be required. This is typically only required for CNY funds.

CurrencyStatus <CcySts> contains the following elements (see CurrencyDesignation1 on page 2381 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		2382
	Location <Lctn>	[0..1]	CodeSet	C11	2382
	AdditionalInformation <AddtlInf>	[0..1]	Text		2382

76.1.26.4.12 ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>

Presence: [1..1]

Definition: Indicates whether the net cash flow is exceptional.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.26.4.13 Price <Pric>

Presence: [0..1]

Definition: Price per unit of the trade date.

Price <Pric> contains the following elements (see [UnitPrice19](#) on page 2868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2868
{Or	Code <Cd>	[1..1]	CodeSet		2868
Or}	Proprietary <Prtry>	[1..1]	±		2869
	Value <Val>	[1..1]	±		2870

76.1.26.4.14 ForeignExchangeRate <FXRate>

Presence: [0..1]

Definition: Foreign exchange rate.

ForeignExchangeRate <FXRate> contains the following elements (see [ForeignExchangeTerms19](#) on page 1988 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1989
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1989
	ExchangeRate <XchgRate>	[1..1]	Rate		1990

76.1.26.4.15 PercentageOfShareClassTotalNAV <PctgOfShrClssTtlNAV>

Presence: [0..1]

Definition: Net cash flow expressed as a percentage of the total NAV for the share class.

Datatype: [PercentageRate](#) on page 3406

76.1.26.4.16 CashInForecastDetails <CshInFcstDtIs>

Presence: [0..*]

Definition: Cash movements into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

Impacted by: [C3 AdditionalBalanceRule](#)

CashInForecastDetails <CshInFcstDtIs> contains the following elements (see [CashInForecast6](#) on page 1708 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1709
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1709
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1710
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1710
	AdditionalBalance <AddtlBal>	[0..1]	±		1710

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.26.4.17 CashOutForecastDetails <CshOutFcstDtIs>

Presence: [0..*]

Definition: Cash movements out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

Impacted by: [C4 AdditionalBalanceRule](#)

CashOutForecastDetails <CshOutFcstDtls> contains the following elements (see [CashOutForecast6](#) on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1737
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1737
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1737
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1738
	AdditionalBalance <AddtlBal>	[0..1]	±		1738

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.26.4.18 NetCashForecastDetails <NetCshFcstDtls>

Presence: [0..*]

Definition: Net cash as a result of the cash-in and cash-out flows.

Impacted by: C7 AdditionalBalanceRule

NetCashForecastDetails <NetCshFcstDtIs> contains the following elements (see [NetCashForecast4](#) on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1734
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1734
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1735
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1735
	AdditionalBalance <AddtlBal>	[0..1]	±		1736

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.26.5 EstimatedFundCashForecast6

Definition: Cash movements from or to a fund as a result of investment funds transactions, eg, subscriptions or redemptions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2186
	TradeDateTime <TradDtTm>	[1..1]	±		2187
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		2187
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	2187
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..*]	Amount	C3, C12	2188
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	2188
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		2189
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		2189
	EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>	[0..1]	Rate		2190
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	2190
	CurrencyStatus <CcySts>	[0..1]	±		2190
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		2190
	Price <Pric>	[0..1]	±		2191
	ForeignExchangeRate <FXRate>	[0..1]	±		2191
	EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClssTtlNAV>	[0..1]	Rate		2191
	EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>	[0..*]	±	C3	2191
	EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>	[0..*]	±	C4	2192
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]	±	C7	2193

Constraints

- **ExceptionalCashFlowIndicatorRule**

(Rule)

If Exceptional NetCashFlowIndicator is "true" or "1" (Yes), then either EstimatedCashInForecastDetails/ExceptionalCashFlowIndicator or EstimatedCashOutForecastDetails/ExceptionalCashFlowIndicator must be present. Both may be present.

76.1.26.5.1 Identification <Id>

Presence: [1..1]

Definition: Unique technical identifier for an instance of a fund cash forecast within a fund cash forecast report as assigned by the issuer of the report.

Datatype: Max35Text on page 3409

76.1.26.5.2 TradeDateTime <TradDtTm>

Presence: [1..1]

Definition: Date and, if required, the time, at which the price will be applied.

TradeDateTime <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.26.5.3 PreviousTradeDateTime <PrvsTradDtTm>

Presence: [0..1]

Definition: Previous date and time at which the price was applied.

PreviousTradeDateTime <PrvsTradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.26.5.4 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class to which the cash flow is related.

Impacted by: [C13 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument9](#) on page 1903 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1903
	Name <Nm>	[0..1]	Text		1904
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1904
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C3	1904
	ClassType <ClsTp>	[0..1]	Text		1905
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1905
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1905
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1906

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

76.1.26.5.5 EstimatedTotalNAV <EstmtdTtlNAV>

Presence: [0..*]

Definition: Estimated total value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.5.6 PreviousTotalNAV <PrvsTtlNAV>

Presence: [0..*]

Definition: Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.5.7 EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>

Presence: [0..1]

Definition: Estimated total number of investment fund class units that have been issued.

EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.5.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

Presence: [0..1]

Definition: Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

PreviousTotalUnitsNumber <PrvsTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.5.9 EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>

Presence: [0..1]

Definition: Rate of change of the net asset value.

Datatype: PercentageRate on page 3406

76.1.26.5.10 InvestmentCurrency <InvstmtCcy>

Presence: [0..*]

Definition: Currency of the investment fund class.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.26.5.11 CurrencyStatus <CcySts>

Presence: [0..1]

Definition: Information about the designation of the share class currency, that is, whether it is for onshore or offshore purposes and other information that may be required. This is typically only required for CNY funds.

CurrencyStatus <CcySts> contains the following elements (see CurrencyDesignation1 on page 2381 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		2382
	Location <Lctn>	[0..1]	CodeSet	C11	2382
	AdditionalInformation <AddtlInf>	[0..1]	Text		2382

76.1.26.5.12 ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>

Presence: [1..1]

Definition: Indicates whether the estimated net cash flow is exceptional.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.26.5.13 Price <Pric>

Presence: [0..1]

Definition: Price per unit of the previous trade date.

Price <Pric> contains the following elements (see [UnitPrice19](#) on page 2868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2868
{Or	Code <Cd>	[1..1]	CodeSet		2868
Or}	Proprietary <Prtry>	[1..1]	±		2869
	Value <Val>	[1..1]	±		2870

76.1.26.5.14 ForeignExchangeRate <FXRate>

Presence: [0..1]

Definition: Foreign exchange rate.

ForeignExchangeRate <FXRate> contains the following elements (see [ForeignExchangeTerms19](#) on page 1988 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1989
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1989
	ExchangeRate <XchgRate>	[1..1]	Rate		1990

76.1.26.5.15 EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClssTtlNAV>

Presence: [0..1]

Definition: Estimated net cash flow expressed as a percentage of the previous total NAV for the share class.

Datatype: [PercentageRate](#) on page 3406

76.1.26.5.16 EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>

Presence: [0..*]

Definition: Estimated cash movements into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

Impacted by: [C3 AdditionalBalanceRule](#)

EstimatedCashInForecastDetails <EstmtdCshInFcstDtIs> contains the following elements (see [CashInForecast6](#) on page 1708 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1709
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1709
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1710
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1710
	AdditionalBalance <AddtlBal>	[0..1]	±		1710

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.26.5.17 EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtIs>

Presence: [0..*]

Definition: Estimated cash movements out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

Impacted by: [C4 AdditionalBalanceRule](#)

EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls> contains the following elements (see [CashOutForecast6](#) on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1737
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1737
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1737
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1738
	AdditionalBalance <AddtlBal>	[0..1]	±		1738

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.26.5.18 EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>

Presence: [0..*]

Definition: Net cash as a result of the cash-in and cash-out flows.

Impacted by: C7 AdditionalBalanceRule

EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls> contains the following elements (see [NetCashForecast4 on page 1734](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1734
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1734
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1735
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1735
	AdditionalBalance <AddtlBal>	[0..1]	±		1736

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.26.6 Fund1

Definition: Information about an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2196
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2196
	Identification <Id>	[0..1]			2197
	Identification <Id>	[1..1]	Text		2197
	Type <Tp>	[1..1]	±		2197
	Currency <Ccy>	[0..1]	CodeSet	C3	2197
	TradeDateTime <TradDtTm>	[0..1]	±		2198
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		2198
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..1]	Amount	C3, C12	2198
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	2199
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		2200
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		2200
	EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>	[0..1]	Rate		2200
	EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>	[0..*]	±		2200
	EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>	[0..*]	±		2201
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]			2201
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		2201
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	2201
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		2202
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		2202

Constraints

• **FundIdentification1Rule**

(Rule)

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```

On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
  Or    /LegalEntityIdentifier Must be present
    
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00348
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification2Rule**

(Rule)

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
Following Must be True
  /Identification Must be present
Or   /LegalEntityIdentifier Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification3Rule**

(Rule)

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /LegalEntityIdentifier is absent
Following Must be True
  /Identification Must be present
Or   /Name Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

76.1.26.6.1 Name <Nm>

Presence: [0..1]

Definition: Name of the fund/sub fund.

Datatype: [Max350Text on page 3409](#)

76.1.26.6.2 LegalEntityIdentifier <LgINttyldr>

Presence: [0..1]

Definition: Identification of the fund/sub fund with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Datatype: [LEIIdentifier on page 3400](#)

76.1.26.6.3 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the fund/sub fund, assigned under a formal or proprietary identification scheme.

Identification <Id> contains the following **OtherIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2197
	Type <Tp>	[1..1]	±		2197

76.1.26.6.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification of the fund/sub fund.

Datatype: Max35Text on page 3409

76.1.26.6.3.2 Type <Tp>

Presence: [1..1]

Definition: Identification source.

Type <Tp> contains one of the following elements (see IdentificationSource5Choice on page 1999 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	1999
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		2000

76.1.26.6.4 Currency <Ccy>

Presence: [0..1]

Definition: Currency of the fund/sub fund.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.26.6.5 TradeDateTime <TradDtTm>

Presence: [0..1]

Definition: Date and, if required, the time, at which the price will be applied.

TradeDateTime <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.26.6.6 PreviousTradeDateTime <PrvsTradDtTm>

Presence: [0..1]

Definition: Previous date and time at which a price was applied.

PreviousTradeDateTime <PrvsTradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.26.6.7 EstimatedTotalNAV <EstmtdTtINAV>

Presence: [0..1]

Definition: Estimated total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.6.8 PreviousTotalNAV <PrvsTtlNAV>

Presence: [0..1]

Definition: Previous total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.6.9 EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>

Presence: [0..1]

Definition: Estimated total number of units of the fund/sub fund.

EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1 on page 2910](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.6.10 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

Presence: [0..1]

Definition: Previous total number of units of the fund/sub fund.

PreviousTotalUnitsNumber <PrvsTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1 on page 2910](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.6.11 EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>

Presence: [0..1]

Definition: Estimated consolidated net cash flow expressed as a percentage of the previous total NAV for the fund/sub fund.

Datatype: [PercentageRate on page 3406](#)

76.1.26.6.12 EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>

Presence: [0..*]

Definition: Estimated cash movement into the fund/sub fund.

EstimatedCashInForecastDetails <EstmtdCshInFcstDtls> contains the following elements (see [CashInOutForecast7 on page 2164](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		2164
	Amount <Amt>	[1..1]	Amount	C3, C12	2164

76.1.26.6.13 EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtIs>

Presence: [0..*]

Definition: Estimated cash movement out of the fund/sub fund.

EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtIs> contains the following elements (see [CashInOutForecast7](#) on page 2164 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		2164
	Amount <Amt>	[1..1]	Amount	C3, C12	2164

76.1.26.6.14 EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtIs>

Presence: [0..*]

Definition: Net cash as a result of the cash-in and cash-out flows.

EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtIs> contains the following **NetCashForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		2201
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	2201
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		2202
	FlowDirection <FlowDrctrn>	[1..1]	CodeSet		2202

76.1.26.6.14.1 CashSettlementDate <CshSttlmDt>

Presence: [0..1]

Definition: Date on which cash is available.

Datatype: [ISODate](#) on page 3391

76.1.26.6.14.2 NetAmount <NetAmt>

Presence: [0..1]

Definition: Net amount of the cash flow, expressed as an amount of money.

Impacted by: [C3 ActiveOrHistoricCurrency](#), [C12 CurrencyAmount](#)

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.6.14.3 NetUnitsNumber <NetUnitsNb>

Presence: [0..1]

Definition: Net amount, expressed as a number of units.

NetUnitsNumber <NetUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.6.14.4 FlowDirection <FlowDrctn>

Presence: [1..1]

Definition: Specifies the direction of the cash flow from the perspective of the fund.

Datatype: [FlowDirectionType1Code](#) on page 3281

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

76.1.26.7 Fund4

Definition: Information about an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2204
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2204
	Identification <Id>	[0..1]			2204
	Identification <Id>	[1..1]	Text		2204
	Type <Tp>	[1..1]	±		2205
	Currency <Ccy>	[0..1]	CodeSet	C3	2205
	TotalNAV <TtINAV>	[0..1]	Amount	C3, C12	2205
	PreviousTotalNAV <PrvsTtINAV>	[0..1]	Amount	C3, C12	2206
	TotalUnitsNumber <TtUnitsNb>	[0..1]	±		2207
	PreviousTotalUnitsNumber <PrvsTtUnitsNb>	[0..1]	±		2207
	PercentageOfFundTotalNAV <PctgOfFndTtINAV>	[0..1]	Rate		2207

Constraints

• **FundIdentification1Rule**

(Rule)

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

On Condition

/Identification is absent

Following Must be True

/Name Must be present

Or /LegalEntityIdentifier Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00348

– *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification2Rule**

(Rule)

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

On Condition

/Name is absent

Following Must be True

/Identification Must be present

Or /LegalEntityIdentifier Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification3Rule**

(Rule)

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /LegalEntityIdentifier is absent
Following Must be True
  /Identification Must be present
Or
  /Name Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

76.1.26.7.1 Name <Nm>

Presence: [0..1]

Definition: Name of the fund/sub fund.

Datatype: Max350Text on page 3409

76.1.26.7.2 LegalEntityIdentifier <LglnTtyldr>

Presence: [0..1]

Definition: Identification of the fund/sub fund with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Datatype: LEIIdentifier on page 3400

76.1.26.7.3 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the fund/sub fund, assigned under a formal or proprietary identification scheme.

Identification <Id> contains the following **OtherIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2204
	Type <Tp>	[1..1]	±		2205

76.1.26.7.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification of the fund/sub fund.

Datatype: [Max35Text on page 3409](#)

76.1.26.7.3.2 Type <Tp>

Presence: [1..1]

Definition: Identification source.

Type <Tp> contains one of the following elements (see [IdentificationSource5Choice on page 1999](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	1999
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		2000

76.1.26.7.4 Currency <Ccy>

Presence: [0..1]

Definition: Currency of the fund/sub fund.

Impacted by: [C3 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyCode on page 3246](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.26.7.5 TotalNAV <TtINAV>

Presence: [0..1]

Definition: Total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

Impacted by: [C3 ActiveOrHistoricCurrency](#), [C12 CurrencyAmount](#)

Datatype: [ActiveOrHistoricCurrencyAndAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.7.6 PreviousTotalNAV <PrvsTtINAV>

Presence: [0..1]

Definition: Previous total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.7.7 TotalUnitsNumber <TtlUnitsNb>

Presence: [0..1]

Definition: Total number of units of the fund/sub fund.

TotalUnitsNumber <TtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.7.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

Presence: [0..1]

Definition: Previous total number of units of the fund/sub fund.

PreviousTotalUnitsNumber <PrvsTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.7.9 PercentageOfFundTotalNAV <PctgOfFndTtlNAV>

Presence: [0..1]

Definition: Consolidated net cash flow expressed as a percentage of the total NAV for the fund/sub fund.

Datatype: [PercentageRate](#) on page 3406

76.1.26.8 Fund3

Definition: Information about an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2209
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2209
	Identification <Id>	[0..1]			2209
	Identification <Id>	[1..1]	Text		2209
	Type <Tp>	[1..1]	±		2210
	Currency <Ccy>	[0..1]	CodeSet	C3	2210
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..1]	Amount	C3, C12	2210
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	2211
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		2212
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		2212
	EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>	[0..1]	Rate		2212

Constraints

• **FundIdentification1Rule**

(Rule)

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
  Or    /LegalEntityIdentifier Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00348
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification2Rule**

(Rule)

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
Following Must be True
  /Identification Must be present
  Or    /LegalEntityIdentifier Must be absent
```


Error handling:

- *Error severity:* Fatal
- *Error Code:* X00349
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

• **FundIdentification3Rule**

(Rule)

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /LegalEntityIdentifier is absent
Following Must be True
  /Identification Must be present
Or
  /Name Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00350
- *Error Text:* Identification, Name or LegalEntityIdentifier must be present.

76.1.26.8.1 Name <Nm>

Presence: [0..1]

Definition: Name of the fund/sub fund.

Datatype: Max350Text on page 3409

76.1.26.8.2 LegalEntityIdentifier <LglnTtyldr>

Presence: [0..1]

Definition: Identification of the fund/sub fund with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Datatype: LEIIdentifier on page 3400

76.1.26.8.3 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the fund/sub fund, assigned under a formal or proprietary identification scheme.

Identification <Id> contains the following **OtherIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2209
	Type <Tp>	[1..1]	±		2210

76.1.26.8.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification of the fund/sub fund.

Datatype: [Max35Text on page 3409](#)

76.1.26.8.3.2 Type <Tp>

Presence: [1..1]

Definition: Identification source.

Type <Tp> contains one of the following elements (see [IdentificationSource5Choice on page 1999](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	1999
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		2000

76.1.26.8.4 Currency <Ccy>

Presence: [0..1]

Definition: Currency of the fund/sub fund.

Impacted by: [C3 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyCode on page 3246](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.26.8.5 EstimatedTotalNAV <EstmtdTtINAV>

Presence: [0..1]

Definition: Estimated total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

Impacted by: [C3 ActiveOrHistoricCurrency](#), [C12 CurrencyAmount](#)

Datatype: [ActiveOrHistoricCurrencyAndAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.8.6 PreviousTotalNAV <PrvsTtINAV>

Presence: [0..1]

Definition: Previous total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.26.8.7 EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>

Presence: [0..1]

Definition: Estimated total number of units of the fund/sub fund.

EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1 on page 2910](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.8.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

Presence: [0..1]

Definition: Previous total number of units of the fund/sub fund.

PreviousTotalUnitsNumber <PrvsTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1 on page 2910](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.26.8.9 EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>

Presence: [0..1]

Definition: Estimated consolidated net cash flow expressed as a percentage of the previous total NAV for the fund/sub fund.

Datatype: [PercentageRate on page 3406](#)

76.1.27 InvestmentFundOrder

76.1.27.1 SubscriptionExecution8

Definition: Extract of trade data for a subscription order execution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		2213
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	2213
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		2214

76.1.27.1.1 InvestmentAccountDetails <InvstmtAcctDtIs>

Presence: [0..1]

Definition: Account information of the subscription order / subscription order confirmation for which the advice is given.

InvestmentAccountDetails <InvstmtAcctDtIs> contains the following elements (see [InvestmentAccount30](#) on page 2152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

76.1.27.1.2 FinancialInstrumentDetails <FinInstrmDtIs>

Presence: [0..1]

Definition: Financial instrument information of the subscription order / subscription order confirmation for which the advice is given.

Impacted by: [C10 NameRule](#), [C9 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument18 on page 1908](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <SctyId>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <OthrId>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueIdentificationDate <SrsIsseldDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <NewIsselnd>	[0..1]	Indicator		1911
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

76.1.27.1.3 FinancialInstrumentQuantity <FinInstrmQty>

Presence: [0..1]

Definition: Quantity of an order.

FinancialInstrumentQuantity <FinInstrmQty> contains the following elements (see [FinancialInstrumentQuantity2](#) on page 1969 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	±		1969
	OrderedAmount <OrdrdAmt>	[0..1]	Amount	C3, C12	1970
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1970
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C12	1971
	ExecutedAmount <ExctdAmt>	[0..1]	Amount	C2, C10	1972
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	1973

76.1.27.2 ProcessingCharacteristics8

Definition: Processing characteristics linked to a subscription to an investment fund or alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	2217
	InitialInvestmentApplication <InitlInvstmtAppl>	[0..1]			2217
	ApplicationForm <ApplForm>	[1..1]	Indicator		2217
	SignatureType <SgntrTp>	[1..1]	CodeSet		2218
	SubsequentInvestmentApplication <SbsqntInvstmtAppl>	[0..1]			2218
	ApplicationForm <ApplForm>	[1..1]	Indicator		2218
	SignatureType <SgntrTp>	[1..1]	CodeSet		2218
	AmountIndicator <AmtInd>	[0..1]	Indicator		2219
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		2219
	Rounding <Rndg>	[0..1]	CodeSet		2219
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		2219
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		2220
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		2220
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		2220
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	2221
	DealConfirmationTime <DealConfTm>	[0..1]	Time		2221
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C23, C30	2222
	LimitedPeriod <LtdPrd>	[0..1]	Text		2223
	SettlementCycle <SttlmCycl>	[0..1]			2223
{Or	TradePlus <TPlus>	[1..1]	Quantity		2223
Or}	Prepayment <Prepmt>	[1..1]	Indicator		2223
	AdditionalInformation <AddtlInf>	[0..*]	±		2223

Constraints

• **DealingCutOffTimeFrameRule**

(Rule)

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00156
- *Error Text:* At least one element must be present.

76.1.27.2.1 DealingCurrencyAccepted <DealgCcyAccptd>

Presence: [0..*]

Definition: Currency in which a subscription is accepted.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.2.2 InitialInvestmentApplication <InitlInvstmtAppl>

Presence: [0..1]

Definition: Specifies whether an application form is required for the initial investment.

InitialInvestmentApplication <InitlInvstmtAppl> contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		2217
	SignatureType <SgntrTp>	[1..1]	CodeSet		2218

76.1.27.2.2.1 ApplicationForm <ApplForm>

Presence: [1..1]

Definition: Indicates whether a physical application form is required.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.2.2 SignatureType <SgntrTp>

Presence: [1..1]

Definition: Type of signature.

Datatype: [SignatureType1Code on page 3356](#)

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

76.1.27.2.3 SubsequentInvestmentApplication <SbsqntInvstmtAppl>

Presence: [0..1]

Definition: Specifies whether an application form is required for the subsequent investments.

SubsequentInvestmentApplication <SbsqntInvstmtAppl> contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		2218
	SignatureType <SgntrTp>	[1..1]	CodeSet		2218

76.1.27.2.3.1 ApplicationForm <ApplForm>

Presence: [1..1]

Definition: Indicates whether a physical application form is required.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.2.3.2 SignatureType <SgntrTp>

Presence: [1..1]

Definition: Type of signature.

Datatype: [SignatureType1Code on page 3356](#)

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public

CodeName	Name	Definition
		key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

76.1.27.2.4 AmountIndicator <AmtInd>

Presence: [0..1]

Definition: Indicates whether a subscription can be instructed by amount.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.2.5 UnitsIndicator <UnitsInd>

Presence: [0..1]

Definition: Indicates whether a subscription can be instructed as a number of units.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.2.6 Rounding <Rndg>

Presence: [0..1]

Definition: Indicates the rounding direction applied to nearest unit.

Datatype: [RoundingDirection2Code on page 3347](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

76.1.27.2.7 MainFundOrderDeskLocation <MainFndOrdrDskLctn>

Presence: [0..1]

Definition: Location of the main fund order desk.

MainFundOrderDeskLocation <MainFndOrdrDskLctn> contains the following elements (see [MainFundOrderDeskLocation1](#) on page 2264 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2264
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			2264
	Sign <Sgn>	[1..1]	Indicator		2265
	NumberOfHours <NbOfHrs>	[1..1]	Time		2265

76.1.27.2.8 DealingFrequency <DealgFrqcy>

Presence: [0..1]

Definition: Frequency at which the subscriptions are done.

Datatype: [EventFrequency5Code](#) on page 3276

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

76.1.27.2.9 DealingFrequencyDescription <DealgFrqcyDesc>

Presence: [0..1]

Definition: Description of frequency at which the subscription is done.

Datatype: [Max350Text](#) on page 3409

76.1.27.2.10 DealingCutOffTime <DealgCutOffTm>

Presence: [0..1]

Definition: Latest time at which an order to subscribe can be given.

Datatype: [ISOTime](#) on page 3411

76.1.27.2.11 DealingCutOffTimeFrame <DealgCutOffTmFrame>

Presence: [0..1]

Definition: Dealing cut-off timeframe.

Impacted by: C22 NonWorkingDayAdjustmentRule , C29 TradeMinusRule

DealingCutOffTimeFrame <DealgCutOffTmFrame> contains the following elements (see [TimeFrame4 on page 1833](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1834
	TradeMinus <TMns>	[0..1]	Quantity		1834
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1834
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1834

Constraints

- **NonWorkingDayAdjustmentRule**

(Rule)

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

```
On Condition
  /NonWorkingDayAdjustment is present
Following Must be True
  /TradeMinus Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradeMinus element must be present

- **TradeMinusRule**

(Rule)

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

```
On Condition
  /TradeMinus is present
Following Must be True
  /NonWorkingDayAdjustment Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00154
- *Error Text:* NonWorkingDayAdjustment element must be present

76.1.27.2.12 DealConfirmationTime <DealConfTm>

Presence: [0..1]

Definition: Time at which the deal confirmation is issued.

Datatype: [ISOTime on page 3411](#)

76.1.27.2.13 DealConfirmationTimeFrame <DealConfTmFrame>

Presence: [0..1]

Definition: Time frame within which the deal confirmation is issued.

Impacted by: [C23 NonWorkingDayAdjustmentRule](#) , [C30 TradePlusRule](#)

DealConfirmationTimeFrame <DealConfTmFrame> contains the following elements (see [TimeFrame7 on page 1829](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1830
	TradePlus <TPlus>	[0..1]	Quantity		1830
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1830
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1830

Constraints

- **NonWorkingDayAdjustmentRule**

(Rule)

If NonWorkingDayAdjustment is present then TradePlus must also be present.

```
On Condition
  /NonWorkingDayAdjustment is present
Following Must be True
  /TradePlus Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradeMinus element must be present

- **TradePlusRule**

(Rule)

If TradePlus is present then NonWorkingDayAdjustment must also be present.

```
On Condition
  /TradePlus is present
Following Must be True
  /NonWorkingDayAdjustment Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00419
- *Error Text:* NonWorkingDayAdjustment element must be present

76.1.27.2.14 LimitedPeriod <LtdPrd>

Presence: [0..1]

Definition: Specific period, for example, for some guaranteed funds, during which the units/shares may be subscribed.

Datatype: [Max350Text on page 3409](#)

76.1.27.2.15 SettlementCycle <SttlmCycl>

Presence: [0..1]

Definition: Settlement timing.

SettlementCycle <SttlmCycl> contains one of the following **TimeFrame7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TradePlus <TPlus>	[1..1]	Quantity		2223
Or}	Prepayment <Prepmt>	[1..1]	Indicator		2223

76.1.27.2.15.1 TradePlus <TPlus>

Presence: [1..1]

Definition: Number of days after the trade date (T) for the standard settlement timeframe.

Datatype: [Number on page 3405](#)

76.1.27.2.15.2 Prepayment <Prepmt>

Presence: [1..1]

Definition: Indicates whether pre-payment is necessary.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.2.16 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the subscription processing characteristics.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.3 InvestmentNeed2Choice

Definition: Choice of formats for an investment need.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2224
Or}	Proprietary <Prtry>	[1..1]	±		2224

76.1.27.3.1 Code <Cd>

Presence: [1..1]

Definition: Investment need expressed as a code.

Datatype: [InvestmentNeed2Code](#) on page 3311

CodeName	Name	Definition
NSPE	None	No specific need.
OTHR	Other	Other specific need.
ISLB	IslamicBanking	Investment need is for Islamic banking.

76.1.27.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Investment need expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.27.4 Crystallisation2

Definition: Number of crystallised units.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TrancheIdentification <Trchld>	[1..1]	Text		2224
	CrystallisedUnitsNumber <CrstllsdUnitsNb>	[0..1]	Quantity		2225
	UncrystallisedUnitsNumber <UcrstllsdUnitsNb>	[0..1]	Quantity		2225
	CrystallisedAmount <CrstllsdAmt>	[0..1]	Amount	C2	2225
	UncrystallisedAmount <UcrstllsdAmt>	[0..1]	Amount	C2	2225
	AdditionalInformation <AddtlInf>	[0..*]	±		2226

76.1.27.4.1 TrancheIdentification <Trchld>

Presence: [1..1]

Definition: Identification of the tranche.

Datatype: Max35Text on page 3409

76.1.27.4.2 CrystallisedUnitsNumber <CrstllsdUnitsNb>

Presence: [0..1]

Definition: Number of units crystallised.

Datatype: DecimalNumber on page 3405

76.1.27.4.3 UncrystallisedUnitsNumber <UcrstllsdUnitsNb>

Presence: [0..1]

Definition: Number of units uncrystallised.

Datatype: DecimalNumber on page 3405

76.1.27.4.4 CrystallisedAmount <CrstllsdAmt>

Presence: [0..1]

Definition: Sum representing the crystallised amount.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.4.5 UncrystallisedAmount <UcrstllsdAmt>

Presence: [0..1]

Definition: Sum representing the uncrystallised amount.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.4.6 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the crystallisation.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.5 Conversion1

Definition: Identification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetSecurity <TrgtScty>	[1..1]		C16	2226
	Identification <Id>	[1..1]	±		2227
	Name <Nm>	[0..1]	Text		2227
	ShortName <ShrtNm>	[0..1]	Text		2227
	AdditionalInformation <AddtlInf>	[0..*]	±		2228

76.1.27.5.1 TargetSecurity <TrgtScty>

Presence: [1..1]

Definition: Identification of the target security.

Impacted by: [C16 IdentificationGuideline](#)

TargetSecurity <TrgtScty> contains the following **FinancialInstrumentIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2227
	Name <Nm>	[0..1]	Text		2227
	ShortName <ShrtNm>	[0..1]	Text		2227

Constraints

• **IdentificationGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.27.5.1.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.

Identification <Id> contains one of the following elements (see [SecurityIdentification25Choice](#) on page 1928 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1928
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1929
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1929
Or	RIC <RIC>	[1..1]	IdentifierSet		1929
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1929
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1929
Or	CTA <CTA>	[1..1]	IdentifierSet		1929
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1929
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1930
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1930
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		1930
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1930
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1930
Or	Common <Cmon>	[1..1]	IdentifierSet		1930
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1930
	Identification <Id>	[1..1]	Text		1931
	IdentificationSource <IdSrc>	[1..1]	±		1931

76.1.27.5.1.2 Name <Nm>

Presence: [0..1]

Definition: Name of the financial instrument in free format text.

Datatype: [Max350Text](#) on page 3409

76.1.27.5.1.3 ShortName <ShrtNm>

Presence: [0..1]

Definition: Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

Datatype: [Max35Text on page 3409](#)

76.1.27.5.2 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the conversion.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.6 PensionTransferScope1Choice

Definition: Choice of formats for the scope of a pension transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2228
Or}	Proprietary <Prtry>	[1..1]	±		2228

76.1.27.6.1 Code <Cd>

Presence: [1..1]

Definition: Type of pension policy, plan or scheme transfer scope expressed as a code.

Datatype: [PensionTransferScope1Code on page 3326](#)

CodeName	Name	Definition
CRYS	CrystallisedPart	Transfer is for the crystallised portion.
SDDT	DrawdownTranche	Transfer is for a specific drawdown tranche.
FULP	FullPension	Transfer is for the full pension.
UCRY	UncrystallisedPart	Transfer is for the uncrystallised portion.

76.1.27.6.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of pension policy, plan or scheme transfer scope expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.27.7 MoneyPurchaseAnnualAllowance1

Definition: Information about a Money Purchase Annual Allowance (MPAA).

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Triggered <Trggrd>	[1..1]	Indicator		2229
	TriggeredDate <TrggrdDt>	[0..1]	Date		2229

76.1.27.7.1 Triggered <Trggrd>

Presence: [1..1]

Definition: Indicates whether the annual allowance has been triggered.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.7.2 TriggeredDate <TrggrdDt>

Presence: [0..1]

Definition: Date the annual allowance is taken.

Datatype: [ISODate](#) on page 3391

76.1.27.8 PensionOrder1

Definition: Order attached to a pension.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2229
{Or	Code <Cd>	[1..1]	CodeSet		2230
Or}	Proprietary <Prtry>	[1..1]	±		2230
	AdditionalInformation <AddtlInf>	[0..*]	±		2230

76.1.27.8.1 Type <Tp>

Presence: [1..1]

Definition: Order attached to the pension policy, plan or scheme.

Type <Tp> contains one of the following **PensionOrderType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2230
Or}	Proprietary <Prtry>	[1..1]	±		2230

76.1.27.8.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of order attached to the pension policy, plan or scheme expressed as a code.

Datatype: PensionOrderType1Code on page 3324

CodeName	Name	Definition
EARM	Earmark	Pension policy, plan or scheme has been earmarked (set aside.)
SHAR	Sharing	Sharing order for the pension policy, plan or scheme has been issued by a court.

76.1.27.8.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of order attached to the pension policy, plan or scheme expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.27.8.2 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the pension order.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.9 LumpSumType1Choice

Definition: Choice of formats for a type of lump sum.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2231
Or}	Proprietary <Prtry>	[1..1]	±		2231

76.1.27.9.1 Code <Cd>

Presence: [1..1]

Definition: Type of lump sum expressed as a code.

Datatype: [LumpSumType1Code on page 3314](#)

CodeName	Name	Definition
DEAB	DeathBenefit	Lump sum is a death benefit lump sum.
PCLS	PensionCommencement	Lump sum is a pension commencement lump sum.
UFPL	Uncrystallised	Lump sum is an uncrystallised fund pension lump sum.

76.1.27.9.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of lump sum expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.27.10 DrawdownType2Choice

Definition: Choice of formats for a type of drawdown.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2231
Or}	Proprietary <Prtry>	[1..1]	±		2232

76.1.27.10.1 Code <Cd>

Presence: [1..1]

Definition: Type of drawdown expressed as a code.

Datatype: [DrawdownType2Code on page 3272](#)

CodeName	Name	Definition
BOTH	Both	Drawdown type is both flexi-access and capped.
CAPP	CappedIncomeDrawdown	Drawdown type is capped.
FLEX	FlexibleAccessDrawdown	Drawdown type is flexi-access.

76.1.27.10.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of drawdown expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.27.11 Drawdown2

Definition: Details of a drawdown tranche.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2234
	TrancheType <TrchTp>	[1..1]	±		2234
	ApplicableRules <AplblRules>	[0..1]			2234
{Or	Code <Cd>	[1..1]	CodeSet		2234
Or}	Proprietary <Prtry>	[1..1]	±		2235
	InvestorTaxReference <InvstrTaxRef>	[0..1]			2235
	Type <Tp>	[0..1]			2235
{Or	Code <Cd>	[1..1]	CodeSet		2235
Or}	Proprietary <Prtry>	[1..1]	±		2236
	Reference <Ref>	[1..1]	Text		2236
	PercentageOfTotalTransferValue <PctgOfTtlTrfVal>	[0..1]	Rate		2236
	TotalAmountNetDrawdown <TtlAmtNetDrwdwn>	[0..1]	Amount	C2	2236
	AdditionalFundsDesignated <AddtlFndsDsgntd>	[0..1]	Indicator		2237
	PensionCommencementLumpSumRemaining <PnsnCmcmntLumpSumRmng>	[0..1]	Amount	C2	2237
	PensionCommencementLumpSumDate <PnsnCmcmntLumpSumDt>	[0..1]	Date		2237
	MultiplePensionCommencementLumpSums <MltplPnsnCmcmntLumpSums>	[0..1]	Indicator		2237
	LifetimeAllowance <LftmAllwnc>	[0..1]	Rate		2238
	RecipientOfDrawdownIndicator <RcptOfDrwdwnInd>	[0..1]	Indicator		2238
	BeneficiaryDetails <BnfcryDtls>	[0..1]	±		2238
	CappedLimits <CapdLmts>	[0..1]			2238
	StartDate <StartDt>	[0..1]	Date		2239
	IncomeLimitCurrentPeriod <IncmLmtCurPrd>	[0..1]	Amount	C2	2239
	IncomeCurrentPeriod <IncmCurPrd>	[0..1]	Amount	C2	2239
	IncomeLimitNextPeriod <IncmLmtNxtPrd>	[0..1]	Amount	C2	2240
	AdditionalInformation <AddtlInf>	[0..*]	±		2240
	FlexibleDrawdownTriggeredDate <FlxblDrwdwnTrggrdDt>	[0..1]	Date		2241
	AdditionalInformation <AddtlInf>	[0..*]	±		2241

Constraints

- **BeneficiaryDetailsRule**
 (Rule)

If RecipientOfDrawdownIndicator is "false" or "0" (No), then BeneficiaryDetails is not allowed.

If RecipientOfDrawdownIndicator is "true" or "1" (Yes), then BeneficiaryDetails may be present.

On Condition

/RecipientOfDrawdownIndicator is equal to value 'false'

Or /RecipientOfDrawdownIndicator is equal to value '0'

Following Must be True

/BeneficiaryDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00452
- *Error Text:* BeneficiaryDetails is not allowed.

76.1.27.11.1 Identification <Id>

Presence: [0..1]

Definition: Identification of the drawdown.

Datatype: [Max140Text on page 3407](#)

76.1.27.11.2 TrancheType <TrchTp>

Presence: [1..1]

Definition: Type of drawdown tranche.

TrancheType <TrchTp> contains one of the following elements (see [DrawdownType2Choice on page 2231](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2231
Or}	Proprietary <Prtry>	[1..1]	±		2232

76.1.27.11.3 ApplicableRules <AplbIRules>

Presence: [0..1]

Definition: Specifies the rules that are applicable to the drawdown. For example, in the UK market, the pre-A-day rule that was introduced on 6 April 2006.)

ApplicableRules <AplbIRules> contains one of the following **ApplicableRules1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2234
Or}	Proprietary <Prtry>	[1..1]	±		2235

76.1.27.11.3.1 Code <Cd>

Presence: [1..1]

Definition: Applicable rules expressed as a code.

Datatype: [ApplicableRules1Code on page 3248](#)

CodeName	Name	Definition
NPRE	NotPreADay	Pre A Day rules do not apply.
YPRE	PreADay	Pre A Day rules applies.

76.1.27.11.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Applicable rules expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.27.11.4 InvestorTaxReference <InvstrTaxRef>

Presence: [0..1]

Definition: Identification of the investor as assigned by a tax authority.

InvestorTaxReference <InvstrTaxRef> contains the following **TaxReference2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			2235
{Or	Code <Cd>	[1..1]	CodeSet		2235
Or}	Proprietary <Prtry>	[1..1]	±		2236
	Reference <Ref>	[1..1]	Text		2236

76.1.27.11.4.1 Type <Tp>

Presence: [0..1]

Definition: Type of tax reference.

Type <Tp> contains one of the following **TaxReferenceType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2235
Or}	Proprietary <Prtry>	[1..1]	±		2236

76.1.27.11.4.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of tax reference expressed as a code.

Datatype: [PersonIdentificationType7Code](#) on page 3328

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

76.1.27.11.4.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of tax reference expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.27.11.4.2 Reference <Ref>

Presence: [1..1]

Definition: Pension scheme tax reference issued to the pension plan by a central organisation.

Datatype: [Max35Text on page 3409](#)

76.1.27.11.5 PercentageOfTotalTransferValue <PctgOfTtITrfVal>

Presence: [0..1]

Definition: Percentage of the total transfer value covered by the drawdown.

Datatype: [PercentageRate on page 3406](#)

76.1.27.11.6 TotalAmountNetDrawdown <TtIAmtNetDrwdwn>

Presence: [0..1]

Definition: Amount that was originally designated for drawdown.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyAnd13DecimalAmount on page 3237](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.11.7 AdditionalFundsDesignated <AddtlFndsDsgntd>

Presence: [0..1]

Definition: Indicates whether any additional funds have been designated since the original arrangement.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.11.8 PensionCommencementLumpSumRemaining <PnsnCmcmntLumpSumRmng>

Presence: [0..1]

Definition: Amount of the pension commencement lump sum (PCLS) remaining.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.11.9 PensionCommencementLumpSumDate <PnsnCmcmntLumpSumDt>

Presence: [0..1]

Definition: Date by which the pension commencement lump sum (PCLS) must be used.

Datatype: ISODate on page 3391

76.1.27.11.10 MultiplePensionCommencementLumpSums <MltplPnsnCmcmntLumpSums>

Presence: [0..1]

Definition: Indicates there have been multiple pension commencement lump sum (PCLS) payments.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.11.11 LifetimeAllowance <LftmAllwnc>

Presence: [0..1]

Definition: Percentage of the lifetime allowance (LTA) used.

Datatype: [PercentageRate on page 3406](#)

76.1.27.11.12 RecipientOfDrawdownIndicator <RcptOfDrwdwnInd>

Presence: [0..1]

Definition: Indicates a person other than the original pension holder is the receiver of the drawdown payment.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.11.13 BeneficiaryDetails <BnfcryDtls>

Presence: [0..1]

Definition: Information about the recipient of the drawdown, when not the original pension holder.

BeneficiaryDetails <BnfcryDtls> contains the following elements (see [BeneficiaryDrawdown1 on page 2273](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficiaryType <BnfcryTp>	[0..1]			2273
{Or	Code <Cd>	[1..1]	CodeSet		2273
Or}	Proprietary <Prtry>	[1..1]	±		2273
	DeathUnderLimit <DthUdrLmt>	[0..1]	Indicator		2274
	AdditionalInformation <AddtlInf>	[0..*]	±		2274

76.1.27.11.14 CappedLimits <CapdLmts>

Presence: [0..1]

Definition: Limits of the capped drawdown.

CappedLimits <CapdLmts> contains the following **Capped1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StartDate <StartDt>	[0..1]	Date		2239
	IncomeLimitCurrentPeriod <IncmLmtCurPrd>	[0..1]	Amount	C2	2239
	IncomeCurrentPeriod <IncmCurPrd>	[0..1]	Amount	C2	2239
	IncomeLimitNextPeriod <IncmLmtNxtPrd>	[0..1]	Amount	C2	2240
	AdditionalInformation <AddtlInf>	[0..*]	±		2240

76.1.27.11.14.1 StartDate <StartDt>

Presence: [0..1]

Definition: Start date of current reference period

Datatype: ISODate on page 3391

76.1.27.11.14.2 IncomeLimitCurrentPeriod <IncmLmtCurPrd>

Presence: [0..1]

Definition: Income limit for the current period.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.11.14.3 IncomeCurrentPeriod <IncmCurPrd>

Presence: [0..1]

Definition: Income taken in the current income year.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.11.14.4 IncomeLimitNextPeriod <IncmLmtNxtPrd>

Presence: [0..1]

Definition: Income limit for the next income year.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.11.14.5 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the cap.

AdditionalInformation <AddtlInf> contains the following elements (see AdditionalInformation15 on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.11.15 FlexibleDrawdownTriggeredDate <FlxblDrwdwnTrggrdDt>

Presence: [0..1]

Definition: Date on which the drawdown was triggered when the drawdown type is flexible.

Datatype: [ISODate](#) on page 3391

76.1.27.11.16 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the drawdown.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.12 BenefitCrystallisationEvent2

Definition: Information about the realisation of benefits taken from a pension.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EventTypeName <EvtTpNm>	[0..1]	Text		2241
	EventDate <EvtDt>	[0..1]	Date		2242
	CrystallisationAmount <CrstllstnAmt>	[0..1]	Amount	C2	2242
	PercentageOfAllowance <PctgOfAllwnc>	[0..1]	Rate		2242
	LifetimeAllowanceProtection <LftmAllwncPrctn>	[0..1]	Indicator		2242
	AdditionalInformation <AddtlInf>	[0..*]	±		2242

76.1.27.12.1 EventTypeNumber <EvtTpNb>

Presence: [0..1]

Definition: Number of the crystallisation event. In the UK market this could be, for example, BCE5, BE5A or BCE5B.

Datatype: [Max35Text](#) on page 3409

76.1.27.12.2 EventTypeName <EvtTpNm>

Presence: [0..1]

Definition: Name of the crystallisation event. In the UK market this could be, for example, 'entitlement to scheme pension'.

Datatype: [Max35Text](#) on page 3409

76.1.27.12.3 EventDate <EvtDt>

Presence: [0..1]

Definition: Date on which the crystallisation event was triggered.

Datatype: ISODate on page 3391

76.1.27.12.4 CrystallisationAmount <CrstllstnAmt>

Presence: [0..1]

Definition: Amount of the crystallisation event.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.12.5 PercentageOfAllowance <PctgOfAllwnc>

Presence: [0..1]

Definition: Percentage of allowance used for the benefit crystallisation event.

Datatype: PercentageRate on page 3406

76.1.27.12.6 LifetimeAllowanceProtection <LftmAllwncPrctn>

Presence: [0..1]

Definition: Indicates whether lifetime allowance protection impacts the benefit crystallisation event.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.12.7 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the benefit crystallisation event.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.13 ModificationScope41

Definition: Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2244
	InvestmentPlan <InvstmtPlan>	[1..1]		C6	2244
	Frequency <Frqcy>	[1..1]	±		2246
	StartDate <StartDt>	[0..1]	Date		2246
	EndDate <EndDt>	[0..1]	Date		2246
	Quantity <Qty>	[1..1]	±		2246
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		2246
	IncomePreference <IncmPref>	[0..1]	CodeSet		2247
	InitialAmount <InitlAmt>	[0..1]	±		2247
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		2247
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		2247
	SecurityDetails <SctyDtls>	[1..50]			2247
	Quantity <Qty>	[1..1]	±		2248
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	2248
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	2249
	ModifiedCashSettlement <ModfdCshSttlm>	[0..8]	±		2250
	ContractReference <CtrctRef>	[0..1]	Text		2251
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		2251
	ProductIdentification <PdctId>	[0..1]	Text		2252
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		2252
	InsuranceCover <InsrncCover>	[0..1]	±		2252
	PlanStatus <PlanSts>	[0..1]	±		2252
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		2252

76.1.27.13.1 ModificationScopeIndication <ModScpIndctn>

Presence: [1..1]

Definition: Type of modification to be applied.

Datatype: DataModification1Code on page 3270

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.1.27.13.2 InvestmentPlan <InvstmtPlan>

Presence: [1..1]

Definition: Plan that allows investors to schedule periodical investments or divestments, according to pre-defined criteria.

Impacted by: C6 AmountRule

InvestmentPlan <InvstmtPlan> contains the following **InvestmentPlan16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		2246
	StartDate <StartDt>	[0..1]	Date		2246
	EndDate <EndDt>	[0..1]	Date		2246
	Quantity <Qty>	[1..1]	±		2246
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		2246
	IncomePreference <IncmPref>	[0..1]	CodeSet		2247
	InitialAmount <InitlAmt>	[0..1]	±		2247
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		2247
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		2247
	SecurityDetails <SctyDtls>	[1..50]			2247
	Quantity <Qty>	[1..1]	±		2248
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	2248
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	2249
	ModifiedCashSettlement <ModfdCshSttlm>	[0..8]	±		2250
	ContractReference <CtrctRef>	[0..1]	Text		2251
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		2251
	ProductIdentification <PdctId>	[0..1]	Text		2252
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		2252
	InsuranceCover <InsrncCover>	[0..1]	±		2252
	PlanStatus <PlanSts>	[0..1]	±		2252
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		2252

Constraints

• **AmountRule**

(Rule)

If Quantity/Amount is not present, then GrossAmountIndicator is not allowed.

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00295

– *Error Text:* GrossAmountIndicator is not allowed.

76.1.27.13.2.1 Frequency <Frqcy>

Presence: [1..1]

Definition: Frequency of the investment or divestment.

Frequency <Frqcy> contains one of the following elements (see [Frequency20Choice](#) on page 1995 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1995
Or}	Proprietary <Prtry>	[1..1]	±		1996

76.1.27.13.2.2 StartDate <StartDt>

Presence: [0..1]

Definition: Date the investment plan starts.

Datatype: [ISODate](#) on page 3391

76.1.27.13.2.3 EndDate <EndDt>

Presence: [0..1]

Definition: Date the investment plan stops.

Datatype: [ISODate](#) on page 3391

76.1.27.13.2.4 Quantity <Qty>

Presence: [1..1]

Definition: Amount of the periodical payments.

Quantity <Qty> contains one of the following elements (see [UnitsOrAmount1Choice](#) on page 1958 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	1958
Or}	Unit <Unit>	[1..1]	Quantity		1959

76.1.27.13.2.5 GrossAmountIndicator <GrssAmtInd>

Presence: [0..1]

Definition: Indicates whether an ordered amount is a gross amount (including transaction overhead). If it is not a gross amount, the ordered amount is a net amount (amount to be invested or redeemed from the fund to which other elements will be added).

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.13.2.6 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference2Code on page 3293](#)

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

76.1.27.13.2.7 InitialAmount <InitIAmt>

Presence: [0..1]

Definition: Initial amount or number of initial instalments.

InitialAmount <InitIAmt> contains one of the following elements (see [InitialAmount1Choice on page 1614](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	InitialNumberOfInstalments <InitINbOfInstlmts>	[1..1]	Quantity		1614
Or}	Amount <Amt>	[1..1]	Amount	C2, C10	1614

76.1.27.13.2.8 TotalNumberOfInstalments <TtINbOfInstlmts>

Presence: [0..1]

Definition: Total number of times the amount must be invested at the predefined frequency as of the start date of the investment plan.

Datatype: [Number on page 3405](#)

76.1.27.13.2.9 RoundingDirection <RndgDrctn>

Presence: [0..1]

Definition: Indicates the rounding direction when an amount is to be spread over several funds.

Datatype: [RoundingDirection1Code on page 3347](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.
STAN	RoundToNearest	Round up or down to the nearest whole number.
DIST	IssueFraction	Do not round.

76.1.27.13.2.10 SecurityDetails <SctyDtls>

Presence: [1..50]

Definition: Security that an investment plan invests in, or from which the investment plan divests.

SecurityDetails <SctyDtIs> contains the following **Repartition6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		2248
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	2248
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	2249

76.1.27.13.2.10.1 Quantity <Qty>

Presence: [1..1]

Definition: Amount, units or percentage of financial instrument invested or withdrawn.

Quantity <Qty> contains one of the following elements (see [UnitsOrAmountOrPercentage1Choice](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	2910
Or	Unit <Unit>	[1..1]	Quantity		2911
Or}	Percentage <Pctg>	[1..1]	Rate		2911

76.1.27.13.2.10.2 FinancialInstrument <FinInstrm>

Presence: [1..1]

Definition: Detailed information about the security or investment fund.

Impacted by: [C20 IdentificationGuideline](#)

FinancialInstrument <FinInstrm> contains the following elements (see [FinancialInstrument87](#) on page 1877 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1878
	Name <Nm>	[0..1]	Text		1879
	ShortName <ShrtNm>	[0..1]	Text		1879
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1879
	ClassType <ClsstP>	[0..1]	Text		1880
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1880
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1880
	ProductGroup <PdctGrp>	[0..1]	Text		1880
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1880
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1882
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1882
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1882
	Pledging <Pldgg>	[0..1]	CodeSet		1882
	Collateral <Coll>	[0..1]	CodeSet		1883
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1883
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1883
	FundIntention <FndIntntn>	[0..1]	CodeSet		1883
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1884

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.27.13.2.10.3 CurrencyOfPlan <CcyOfPlan>

Presence: [0..1]

Definition: When a fund has multiple currencies within same ISIN, this indicates the currency of the savings or withdrawal plan.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.27.13.2.11 ModifiedCashSettlement <ModfdCshSttlm>

Presence: [0..8]

Definition: Cash settlement standing instruction associated to the investment plan and to be either inserted or deleted.

ModifiedCashSettlement <ModfdCshSttlm> contains the following elements (see [CashSettlement4](#) on page 2950 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2951
	CashAccountDetails <CshAcctDtls>	[0..*]			2951
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2952
	Identification <Id>	[1..1]	±		2953
	AccountOwner <AcctOwnr>	[0..1]	±		2953
	AccountServicer <AcctSvcr>	[0..1]	±		2953
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2954
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		2954
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2955
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2955
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2955
{Or	Code <Cd>	[1..1]	CodeSet		2956
Or}	Proprietary <Prtry>	[1..1]	±		2956
	CashAccountPurpose <CshAcctPurp>	[0..1]			2957
{Or	Code <Cd>	[1..1]	CodeSet		2957
Or}	Proprietary <Prtry>	[1..1]	±		2957
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2958
{Or	Code <Cd>	[1..1]	CodeSet		2958
Or}	Proprietary <Prtry>	[1..1]	±		2958
	DividendPercentage <DvddPctg>	[0..1]	Rate		2958
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2958

76.1.27.13.2.12 ContractReference <CtrctRef>

Presence: [0..1]

Definition: Reference of the underlying investment contract. In some markets, such as Italy, this might be required to segregate holdings between the same investment account.

Datatype: [Max35Text](#) on page 3409

76.1.27.13.2.13 RelatedContractReference <RltdCtrctRef>

Presence: [0..1]

Definition: Reference of the previous contract to which this savings or withdrawal plan is related.

Datatype: [Max35Text](#) on page 3409

76.1.27.13.2.14 ProductIdentification <PdctId>

Presence: [0..1]

Definition: Identification of the product as designated by the fund manager. In some markets, such as Italy, the financial product or service related to a savings plan or withdrawal plan are identified by a product identification or number.

Datatype: [Max35Text on page 3409](#)

76.1.27.13.2.15 SLAChargeAndCommissionReference <SLAChrgAndComssnRef>

Presence: [0..1]

Definition: Reference of the underlying service level agreement (SLA) governing fees.

Datatype: [Max35Text on page 3409](#)

76.1.27.13.2.16 InsuranceCover <InsrncCover>

Presence: [0..1]

Definition: Specifies the type of insurance contract to which the savings investment plan is linked.

InsuranceCover <InsrncCover> contains one of the following elements (see [InsuranceType2Choice on page 2392](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2392
Or}	Proprietary <Prtry>	[1..1]	±		2392

76.1.27.13.2.17 PlanStatus <PlanSts>

Presence: [0..1]

Definition: Status of the savings or withdrawal investment plan.

PlanStatus <PlanSts> contains one of the following elements (see [PlanStatus2Choice on page 3051](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3052
Or}	Proprietary <Prtry>	[1..1]	±		3052

76.1.27.13.2.18 InstalmentManagerRole <InstlmtMgrRole>

Presence: [0..1]

Definition: Role or function of the instalment manager.

InstalmentManagerRole <InstlmtMgrRole> contains one of the following elements (see [PartyRole4Choice on page 2636](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2637
Or}	Proprietary <Prtry>	[1..1]	±		2638

76.1.27.14 InvestmentPlan17

Definition: Plan that allows investors to schedule periodical investments or divestments, according to pre-defined criteria.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		2254
	StartDate <StartDt>	[0..1]	Date		2254
	EndDate <EndDt>	[0..1]	Date		2254
	Quantity <Qty>	[1..1]	±		2254
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		2254
	IncomePreference <IncmPref>	[0..1]	CodeSet		2255
	InitialAmount <InitlAmt>	[0..1]	±		2255
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		2255
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		2255
	SecurityDetails <SctyDtls>	[1..50]			2256
	Quantity <Qty>	[1..1]	±		2256
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	2256
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	2257
	CashSettlement <CshSttlm>	[0..8]	±		2258
	ContractReference <CtrctRef>	[0..1]	Text		2259
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		2259
	ProductIdentification <PdctId>	[0..1]	Text		2260
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		2260
	InsuranceCover <InsrncCover>	[0..1]	±		2260
	PlanStatus <PlanSts>	[0..1]	±		2260
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		2260

Constraints

- **AmountRule**

(Rule)

If Quantity/Amount is not present, then GrossAmountIndicator is not allowed.

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00295
- *Error Text:* GrossAmountIndicator is not allowed.

76.1.27.14.1 Frequency <Frqcy>

Presence: [1..1]

Definition: Frequency of the investment or divestment.

Frequency <Frqcy> contains one of the following elements (see [Frequency20Choice](#) on page 1995 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1995
Or}	Proprietary <Prtry>	[1..1]	±		1996

76.1.27.14.2 StartDate <StartDt>

Presence: [0..1]

Definition: Date the investment plan starts.

Datatype: [ISODate](#) on page 3391

76.1.27.14.3 EndDate <EndDt>

Presence: [0..1]

Definition: Date the investment plan stops.

Datatype: [ISODate](#) on page 3391

76.1.27.14.4 Quantity <Qty>

Presence: [1..1]

Definition: Amount of the periodical payments.

Quantity <Qty> contains one of the following elements (see [UnitsOrAmount1Choice](#) on page 1958 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	1958
Or}	Unit <Unit>	[1..1]	Quantity		1959

76.1.27.14.5 GrossAmountIndicator <GrssAmtInd>

Presence: [0..1]

Definition: Indicates whether an ordered amount is a gross amount (including transaction overhead). If it is not a gross amount, the ordered amount is a net amount (amount to be invested or redeemed from the fund to which other elements will be added).

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.14.6 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference2Code](#) on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

76.1.27.14.7 InitialAmount <InitIAmt>

Presence: [0..1]

Definition: Initial amount or number of initial instalments.

InitialAmount <InitIAmt> contains one of the following elements (see [InitialAmount1Choice](#) on page 1614 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	InitialNumberOfInstalments <InitINbOfInstlmts>	[1..1]	Quantity		1614
Or}	Amount <Amt>	[1..1]	Amount	C2, C10	1614

76.1.27.14.8 TotalNumberOfInstalments <TtINbOfInstlmts>

Presence: [0..1]

Definition: Total number of times the amount must be invested at the predefined frequency as of the start date of the investment plan.

Datatype: [Number](#) on page 3405

76.1.27.14.9 RoundingDirection <RndgDrctn>

Presence: [0..1]

Definition: Indicates the rounding direction when an amount is to be spread over several funds.

Datatype: [RoundingDirection1Code](#) on page 3347

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.
STAN	RoundToNearest	Round up or down to the nearest whole number.
DIST	IssueFraction	Do not round.

76.1.27.14.10 SecurityDetails <SctyDtIs>

Presence: [1..50]

Definition: Security that an investment plan invests in, or from which the investment plan divests.

SecurityDetails <SctyDtIs> contains the following **Repartition6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		2256
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	2256
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	2257

76.1.27.14.10.1 Quantity <Qty>

Presence: [1..1]

Definition: Amount, units or percentage of financial instrument invested or withdrawn.

Quantity <Qty> contains one of the following elements (see [UnitsOrAmountOrPercentage1Choice](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	2910
Or	Unit <Unit>	[1..1]	Quantity		2911
Or}	Percentage <Pctg>	[1..1]	Rate		2911

76.1.27.14.10.2 FinancialInstrument <FinInstrm>

Presence: [1..1]

Definition: Detailed information about the security or investment fund.

Impacted by: [C20 IdentificationGuideline](#)

FinancialInstrument <FinInstrm> contains the following elements (see [FinancialInstrument87](#) on page 1877 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1878
	Name <Nm>	[0..1]	Text		1879
	ShortName <ShrtNm>	[0..1]	Text		1879
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1879
	ClassType <ClsstP>	[0..1]	Text		1880
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1880
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1880
	ProductGroup <PdctGrp>	[0..1]	Text		1880
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1880
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1882
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1882
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1882
	Pledging <Pldgg>	[0..1]	CodeSet		1882
	Collateral <Coll>	[0..1]	CodeSet		1883
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1883
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1883
	FundIntention <FndIntntn>	[0..1]	CodeSet		1883
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1884

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.27.14.10.3 CurrencyOfPlan <CcyOfPlan>

Presence: [0..1]

Definition: When a fund has multiple currencies within same ISIN, this indicates the currency of the savings or withdrawal plan.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.27.14.11 CashSettlement <CshSttlm>

Presence: [0..8]

Definition: Cash settlement standing instruction associated to the investment plan.

CashSettlement <CshSttlm> contains the following elements (see [CashSettlement3](#) on page 2941 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAccountDetails <CshAcctDtls>	[0..*]			2942
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2943
	Identification <Id>	[1..1]	±		2944
	AccountOwner <AcctOwnr>	[0..1]	±		2944
	AccountServicer <AcctSvcr>	[0..1]	±		2944
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2945
	AccountOwnerOtherIdentification <AcctOwnrOthrlid>	[0..*]	±		2945
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2946
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2946
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2946
{Or	Code <Cd>	[1..1]	CodeSet		2947
Or}	Proprietary <Prtry>	[1..1]	±		2947
	CashAccountPurpose <CshAcctPurp>	[0..1]			2948
{Or	Code <Cd>	[1..1]	CodeSet		2948
Or}	Proprietary <Prtry>	[1..1]	±		2948
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2949
{Or	Code <Cd>	[1..1]	CodeSet		2949
Or}	Proprietary <Prtry>	[1..1]	±		2949
	DividendPercentage <DvddPctg>	[0..1]	Rate		2949
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2949

76.1.27.14.12 ContractReference <CtrctRef>

Presence: [0..1]

Definition: Reference of the underlying investment contract. In some markets, such as Italy, this might be required to segregate holdings between the same investment account.

Datatype: [Max35Text](#) on page 3409

76.1.27.14.13 RelatedContractReference <RltdCtrctRef>

Presence: [0..1]

Definition: Reference of the previous contract to which this savings or withdrawal plan is related.

Datatype: [Max35Text](#) on page 3409

76.1.27.14.14 ProductIdentification <PdctId>

Presence: [0..1]

Definition: Identification of the product as designated by the fund manager. In some markets, such as Italy, the financial product or service related to a savings plan or withdrawal plan are identified by a product identification or number.

Datatype: [Max35Text on page 3409](#)

76.1.27.14.15 SLAChargeAndCommissionReference <SLAChrgAndComssnRef>

Presence: [0..1]

Definition: Reference of the underlying service level agreement (SLA) governing fees.

Datatype: [Max35Text on page 3409](#)

76.1.27.14.16 InsuranceCover <InsrncCover>

Presence: [0..1]

Definition: Specifies the type of insurance contract to which the savings investment plan is linked.

InsuranceCover <InsrncCover> contains one of the following elements (see [InsuranceType2Choice on page 2392](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2392
Or}	Proprietary <Prtry>	[1..1]	±		2392

76.1.27.14.17 PlanStatus <PlanSts>

Presence: [0..1]

Definition: Status of the savings or withdrawal investment plan.

PlanStatus <PlanSts> contains one of the following elements (see [PlanStatus2Choice on page 3051](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3052
Or}	Proprietary <Prtry>	[1..1]	±		3052

76.1.27.14.18 InstalmentManagerRole <InstlmtMgrRole>

Presence: [0..1]

Definition: Role or function of the instalment manager.

InstalmentManagerRole <InstlmtMgrRole> contains one of the following elements (see [PartyRole4Choice on page 2636](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2637
Or}	Proprietary <Prtry>	[1..1]	±		2638

76.1.27.15 OtherDistributionStrategy1

Definition: Other distribution strategy.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DistributionStrategyType <DstrbtnStrtgyTp>	[0..1]	Text		2261
	Target <Trgt>	[0..1]	±		2261
	AdditionalInformation <AddtlInf>	[0..1]	±		2261

76.1.27.15.1 DistributionStrategyType <DstrbtnStrtgyTp>

Presence: [0..1]

Definition: Type of distribution strategy.

Datatype: [Max35Text](#) on page 3409

76.1.27.15.2 Target <Trgt>

Presence: [0..1]

Definition: Choice of formats for the specification of whether the product is aimed at the type of return profile.

Target <Trgt> contains one of the following elements (see [DistributionStrategy1Choice](#) on page 2261 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2262
Or}	Proprietary <Prtry>	[1..1]	±		2262

76.1.27.15.3 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the target market and the investor's risk tolerance.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.16 DistributionStrategy1Choice

Definition: Choice of formats for the specification of a distribution strategy.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2262
Or}	Proprietary <Prtry>	[1..1]	±		2262

76.1.27.16.1 Code <Cd>

Presence: [1..1]

Definition: Distribution strategy expressed as a code.

Datatype: [InvestorType3Code on page 3312](#)

CodeName	Name	Definition
RETL	Retail	Investor is a retail investor.
PRF2	ProfessionalOrPerSe	Investor is professional or professional per se.
NEI1	NeitherProfessionalOrRetail	Investor is neither professional or retail.
BOT2	BothProfessionalAndRetail	Investor is both professional and retail.

76.1.27.16.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Distribution strategy expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.27.17 OtherInvestmentNeed1

Definition: Other investment need.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClientObjectivesAndNeedsType <ClntObjctvsAndNeedsTp>	[0..1]	Text		2263
	Target <Trgt>	[0..1]			2263
{Or	Code <Cd>	[1..1]	CodeSet		2263
Or}	Proprietary <Prtry>	[1..1]	±		2263
	AdditionalInformation <AddtlInf>	[0..1]	±		2263

76.1.27.17.1 ClientObjectivesAndNeedsType <ClntObjctvsAndNeedsTp>

Presence: [0..1]

Definition: Type of return profile.

Datatype: [Max35Text on page 3409](#)

76.1.27.17.2 Target <Trgt>

Presence: [0..1]

Definition: Choice of formats for the specification of whether the product is aimed at the type of return profile.

Target <Trgt> contains one of the following **TargetMarket1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2263
Or}	Proprietary <Prtry>	[1..1]	±		2263

76.1.27.17.2.1 Code <Cd>

Presence: [1..1]

Definition: Specifies whether the product is aimed at the target expressed as a code.

Datatype: [TargetMarket1Code on page 3359](#)

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

76.1.27.17.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Specifies whether the product is aimed at the target expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.27.17.3 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the target market and the Investor's investment requirements.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.18 MainFundOrderDeskLocation1

Definition: U-003-2009 Addition and Modification of choice component. S-009-2009 They are not valid business options in the redemption processing context. S-015-2009 Add new data elements to indicate time zone.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2264
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			2264
	Sign <Sgn>	[1..1]	Indicator		2265
	NumberOfHours <NbOfHrs>	[1..1]	Time		2265

76.1.27.18.1 Country <Ctry>

Presence: [1..1]

Definition: Country in which it is authorised to commercialise the fund.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.27.18.2 TimeZoneOffSet <TmZoneOffSet>

Presence: [1..1]

Definition: Offset of the reporting time before or after 00: 00 hour UTC.

TimeZoneOffset <TmZoneOffset> contains the following **UTCOffset1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Sign <Sgn>	[1..1]	Indicator		2265
	NumberOfHours <NbOfHrs>	[1..1]	Time		2265

76.1.27.18.2.1 Sign <Sgn>

Presence: [1..1]

Definition: Indicates whether the offset is before or after 00: 00 hour UTC.

Datatype: One of the following values must be used (see [PlusOrMinusIndicator](#) on page 3405):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

76.1.27.18.2.2 NumberOfHours <NbOfHrs>

Presence: [1..1]

Definition: Offset of the reporting time, in hours, before or after 00: 00 hour UTC.

Datatype: [ISOTime](#) on page 3411

76.1.27.19 ProcessingCharacteristics7

Definition: Processing characteristics linked to a redemption from an investment fund or alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	2267
	RedemptionAuthorisation <RedAuthstn>	[0..1]			2267
	ApplicationForm <ApplForm>	[1..1]	Indicator		2267
	SignatureType <SgntrTp>	[1..1]	CodeSet		2268
	AmountIndicator <AmtInd>	[0..1]	Indicator		2268
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		2268
	Rounding <Rndg>	[0..1]	CodeSet		2268
	PercentageIndicator <PctgInd>	[0..1]	Indicator		2268
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		2269
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		2269
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		2269
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		2270
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	2270
	DealConfirmationTime <DealConfTm>	[0..1]	Time		2271
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C24, C31	2271
	LimitedPeriod <LtdPrd>	[0..1]	Text		2272
	SettlementCycle <SttlmCycl>	[0..1]			2272
{Or	TradePlus <TPlus>	[1..1]	Quantity		2272
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		2272
	AdditionalInformation <AddtlInf>	[0..*]	±		2272

Constraints

• **DealingCutOffTimeFrameRule**

(Rule)

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00156
- *Error Text:* At least one element must be present.

76.1.27.19.1 DealingCurrencyAccepted <DealgCcyAccptd>

Presence: [0..*]

Definition: Currency in which a redemption is accepted.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.19.2 RedemptionAuthorisation <RedAuthstn>

Presence: [0..1]

Definition: Specifies whether an application form is required for a redemption.

RedemptionAuthorisation <RedAuthstn> contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		2267
	SignatureType <SgnrTp>	[1..1]	CodeSet		2268

76.1.27.19.2.1 ApplicationForm <ApplForm>

Presence: [1..1]

Definition: Indicates whether a physical application form is required.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.19.2 SignatureType <SgntrTp>

Presence: [1..1]

Definition: Type of signature.

Datatype: [SignatureType1Code on page 3356](#)

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

76.1.27.19.3 AmountIndicator <AmtInd>

Presence: [0..1]

Definition: Indicates whether a redemption can be instructed by amount.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.19.4 UnitsIndicator <UnitsInd>

Presence: [0..1]

Definition: Indicates whether a redemption can be instructed as a number of units.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.19.5 Rounding <Rndg>

Presence: [0..1]

Definition: Indicates the rounding direction applied to nearest unit.

Datatype: [RoundingDirection2Code on page 3347](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

76.1.27.19.6 PercentgeIndicator <PctgInd>

Presence: [0..1]

Definition: Indicates whether a redemption can be instructed as a percentage of holding.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.19.7 MainFundOrderDeskLocation <MainFndOrdrDskLctn>

Presence: [0..1]

Definition: Location of the main fund order desk.

MainFundOrderDeskLocation <MainFndOrdrDskLctn> contains the following elements (see [MainFundOrderDeskLocation1](#) on page 2264 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2264
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			2264
	Sign <Sgn>	[1..1]	Indicator		2265
	NumberOfHours <NbOfHrs>	[1..1]	Time		2265

76.1.27.19.8 DealingFrequency <DealgFrqcy>

Presence: [0..1]

Definition: Frequency at which the redemptions are done.

Datatype: [EventFrequency5Code](#) on page 3276

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

76.1.27.19.9 DealingFrequencyDescription <DealgFrqcyDesc>

Presence: [0..1]

Definition: Description of frequency at which the redemption is done.

Datatype: [Max350Text on page 3409](#)

76.1.27.19.10 DealingCutOffTime <DealgCutOffTm>

Presence: [0..1]

Definition: Latest time at which an order to redeem can be given.

Datatype: [ISOTime on page 3411](#)

76.1.27.19.11 DealingCutOffTimeFrame <DealgCutOffTmFrame>

Presence: [0..1]

Definition: Dealing cut-off timeframe.

Impacted by: [C22 NonWorkingDayAdjustmentRule](#), [C29 TradeMinusRule](#)

DealingCutOffTimeFrame <DealgCutOffTmFrame> contains the following elements (see [TimeFrame4 on page 1833](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1834
	TradeMinus <TMns>	[0..1]	Quantity		1834
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1834
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1834

Constraints

- **NonWorkingDayAdjustmentRule**

(Rule)

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

```
On Condition
  /NonWorkingDayAdjustment is present
Following Must be True
  /TradeMinus Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradeMinus element must be present

- **TradeMinusRule**

(Rule)

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

```
On Condition
  /TradeMinus is present
Following Must be True
  /NonWorkingDayAdjustment Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00154
- *Error Text:* NonWorkingDayAdjustment element must be present

76.1.27.19.12 DealConfirmationTime <DealConfTm>

Presence: [0..1]

Definition: Time at which the deal confirmation is issued.

Datatype: [ISOTime on page 3411](#)

76.1.27.19.13 DealConfirmationTimeFrame <DealConfTmFrame>

Presence: [0..1]

Definition: Time frame within which the deal confirmation is issued.

Impacted by: [C24 NonWorkingDayAdjustmentRule](#) , [C31 TradePlusRule](#)

DealConfirmationTimeFrame <DealConfTmFrame> contains the following elements (see [TimeFrame6 on page 1835](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1835
	TradePlus <TPlus>	[0..1]	Quantity		1835
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1836
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1836

Constraints

• **NonWorkingDayAdjustmentRule**

(Rule)

If NonWorkingDayAdjustment is present then TradePlus must also be present.

```
On Condition
  /NonWorkingDayAdjustment is present
Following Must be True
  /TradePlus Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradePlus element must be present

• **TradePlusRule**

(Rule)

If TradePlus is present then NonWorkingDayAdjustment must also be present.

```
On Condition
  /TradePlus is present
```

Following Must be True
 /NonWorkingDayAdjustment Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00419
- *Error Text:* NonWorkingDayAdjustment element must be present

76.1.27.19.14 LimitedPeriod <LtdPrd>

Presence: [0..1]

Definition: Specific period, for example, for some guaranteed funds, during which the units/shares may be redeemed.

Datatype: [Max350Text on page 3409](#)

76.1.27.19.15 SettlementCycle <SttlmCycl>

Presence: [0..1]

Definition: Settlement timing.

SettlementCycle <SttlmCycl> contains one of the following **TimeFrame8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TradePlus <TPlus>	[1..1]	Quantity		2272
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		2272

76.1.27.19.15.1 TradePlus <TPlus>

Presence: [1..1]

Definition: Number of days after the trade date (T) for the standard settlement timeframe.

Datatype: [Number on page 3405](#)

76.1.27.19.15.2 RenunciationPlus <RPlus>

Presence: [1..1]

Definition: Number of days after the renunciation of title documents are received used to define the standard settlement timeframe.

Datatype: [Number on page 3405](#)

76.1.27.19.16 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the redemption processing characteristics.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.20 BeneficiaryDrawdown1

Definition: Information about the beneficiary of a drawdown.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficiaryType <BnfcryTp>	[0..1]			2273
{Or	Code <Cd>	[1..1]	CodeSet		2273
Or}	Proprietary <Prtry>	[1..1]	±		2273
	DeathUnderLimit <DthUdrLmt>	[0..1]	Indicator		2274
	AdditionalInformation <AddtlInf>	[0..*]	±		2274

76.1.27.20.1 BeneficiaryType <BnfcryTp>

Presence: [0..1]

Definition: Type of beneficiary.

BeneficiaryType <BnfcryTp> contains one of the following **BeneficiaryType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2273
Or}	Proprietary <Prtry>	[1..1]	±		2273

76.1.27.20.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of beneficiary expressed as a code.

Datatype: [BeneficiaryType1Code](#) on page 3249

CodeName	Name	Definition
DEPE	Dependent	Beneficiary is a dependent.
NOMI	Nominee	Beneficiary is a nominee.
SUCC	Successor	Beneficiary is a successor.

76.1.27.20.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of beneficiary expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.27.20.2 DeathUnderLimit <DthUdrLmt>

Presence: [0..1]

Definition: Indicates whether the original pension holder was under the age limit when deceased. Typically, in the UK this limit is seventy-five.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.20.3 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the recipient of the drawdown.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.21 DistributionStrategy1

Definition: Distribution strategy criteria.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExecutionOnly <ExctnOnly>	[0..1]	±		2274
	ExecutionWithAppropriatenessTestOrNonAdvisedServices <ExctnWithApprprtnssTstOrNonAdvsvcs>	[0..1]	±		2275
	InvestmentAdvice <InvstmtAdvc>	[0..1]	±		2275
	PortfolioManagement <PrtlMgmt>	[0..1]	±		2275
	Other <Othr>	[0..1]	±		2276

76.1.27.21.1 ExecutionOnly <ExctnOnly>

Presence: [0..1]

Definition: Specifies to whom the product can be sold on an execution-only basis. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 06010.

ExecutionOnly <ExctnOnly> contains one of the following elements (see [DistributionStrategy1Choice](#) on page 2261 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2262
Or}	Proprietary <Prtry>	[1..1]	±		2262

76.1.27.21.2 ExecutionWithAppropriatenessTestOrNonAdvisedServices <ExctnWthApprprtntssTstOrNonAdvsvcs>

Presence: [0..1]

Definition: Specifies to whom the product can be sold with an appropriateness test or to a non-advised service. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 06020.

**ExecutionWithAppropriatenessTestOrNonAdvisedServices
 <ExctnWthApprprtntssTstOrNonAdvsvcs>** contains one of the following elements (see [DistributionStrategy1Choice](#) on page 2261 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2262
Or}	Proprietary <Prtry>	[1..1]	±		2262

76.1.27.21.3 InvestmentAdvice <InvstmtAdvvc>

Presence: [0..1]

Definition: Specifies to whom the product can be sold if investment advice has been provided. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 06030.

InvestmentAdvice <InvstmtAdvvc> contains one of the following elements (see [DistributionStrategy1Choice](#) on page 2261 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2262
Or}	Proprietary <Prtry>	[1..1]	±		2262

76.1.27.21.4 PortfolioManagement <PrtlMgmt>

Presence: [0..1]

Definition: Specifies to whom the product can be sold if portfolio management has been provided. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 06040.

PortfolioManagement <PrtfIMgmt> contains one of the following elements (see [DistributionStrategy1Choice](#) on page 2262 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2262
Or}	Proprietary <Prtry>	[1..1]	±		2262

76.1.27.21.5 Other <Othr>

Presence: [0..1]

Definition: Other distribution strategy.

Other <Othr> contains the following elements (see [OtherDistributionStrategy1](#) on page 2261 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DistributionStrategyType <DstrbtnStrgyTp>	[0..1]	Text		2261
	Target <Trgt>	[0..1]	±		2261
	AdditionalInformation <AddtlInf>	[0..1]	±		2261

76.1.27.22 OtherTargetMarket1

Definition: Other target market parameter.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetMarketType <TrgtMktTp>	[1..1]	Text		2276
	AdditionalInformation <AddtlInf>	[0..1]	±		2276

76.1.27.22.1 TargetMarketType <TrgtMktTp>

Presence: [1..1]

Definition: Type of target market parameter.

Datatype: [Max350Text](#) on page 3409

76.1.27.22.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the target market.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.23 InvestmentPlanCharacteristics1

Definition: Characteristics of an investment plan.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlanType <PlanTp>	[1..1]			2277
{Or	Code <Cd>	[1..1]	CodeSet		2277
Or}	Proprietary <Prtry>	[1..1]	±		2278
	Frequency <Frqcy>	[0..1]	±		2278
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		2278
	Quantity <Qty>	[0..1]	±		2278
	PlanContinuation <PlanConttn>	[0..1]	Indicator		2279
	AdditionalSubscription <AddtlSbcpt>	[0..1]	Indicator		2279
	AdditionalSubscriptionFunction <AddtlSbcptFctn>	[0..1]	Indicator		2279
	AdditionalInformation <AddtlInf>	[0..*]	±		2279

Constraints

- **InvestmentPlanRule**

(Rule)

If PlanType/Code is not INVP the AdditionalSubscription and AdditionalSubscriptionFunction must not be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.27.23.1 PlanType <PlanTp>

Presence: [1..1]

Definition: Type of investment plan.

PlanType <PlanTp> contains one of the following **InvestmentFundPlanType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2277
Or}	Proprietary <Prtry>	[1..1]	±		2278

76.1.27.23.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of investment fund plan expressed as a code.

Datatype: [InvestmentFundPlanType1Code on page 3301](#)

CodeName	Name	Definition
INVP	SavingsInvestmentPlan	Savings investment plan.
SWIP	SwitchPlan	Switch plan.
WTHP	WithdrawalPlan	Withdrawal plan.

76.1.27.23.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of investment fund plan expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.27.23.2 Frequency <Frqcy>

Presence: [0..1]

Definition: Frequency of the investment plan.

Frequency <Frqcy> contains one of the following elements (see [Frequency20Choice on page 1995](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1995
Or}	Proprietary <Prtry>	[1..1]	±		1996

76.1.27.23.3 TotalNumberOfInstalments <TtINbOfInstlmts>

Presence: [0..1]

Definition: Total number of times the amount must be invested at the predefined frequency as of the start date of the investment plan.

Datatype: [Number on page 3405](#)

76.1.27.23.4 Quantity <Qty>

Presence: [0..1]

Definition: Minimum amount of the periodical payments. (If there is no maximum, then '0' must be specified for the Amount or Units.)

Quantity <Qty> contains one of the following elements (see [UnitsOrAmount1Choice](#) on page 1958 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	1958
Or}	Unit <Unit>	[1..1]	Quantity		1959

76.1.27.23.5 PlanContinuation <PlanConttn>

Presence: [0..1]

Definition: Indicates whether it is possible to continue the savings plan after the end date.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.23.6 AdditionalSubscription <AddtlSbcpt>

Presence: [0..1]

Definition: Indicates whether it is possible to subscribe to additional instalments over and above that permitted by the savings plan frequency.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.23.7 AdditionalSubscriptionFunction <AddtlSbcptFctn>

Presence: [0..1]

Definition: Indicates whether any additional instalments will reduce the period of the life of the savings investment plan.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.23.8 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the investment plan.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.24 ProcessingCharacteristics6

Definition: Processing characteristics linked to a switch order for an investment fund or alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	2281
	SwitchAuthorisation <SwtchAuthstn>	[0..1]			2281
	ApplicationForm <ApplForm>	[1..1]	Indicator		2281
	SignatureType <SgntrTp>	[1..1]	CodeSet		2282
	AmountIndicator <AmtInd>	[0..1]	Indicator		2282
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		2282
	Rounding <Rndg>	[0..1]	CodeSet		2282
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		2282
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		2283
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		2283
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		2283
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	2284
	DealConfirmationTime <DealConfTm>	[0..1]	Time		2284
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C25, C32	2285
	LimitedPeriod <LtdPrd>	[0..1]	Text		2286
	SettlementCycle <SttlmCycl>	[0..1]			2286
{Or	TradePlus <TPlus>	[1..1]	Quantity		2286
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		2286
	AdditionalInformation <AddtlInf>	[0..*]	±		2286

Constraints

- **DealingCutOffTimeFrameRule**

(Rule)

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00156
- *Error Text:* At least one element must be present.

76.1.27.24.1 DealingCurrencyAccepted <DealgCcyAcctpd>

Presence: [0..*]

Definition: Currency in which a switch is accepted.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.24.2 SwitchAuthorisation <SwtchAuthstn>

Presence: [0..1]

Definition: Specifies whether an application form is required for a switch.

SwitchAuthorisation <SwtchAuthstn> contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		2281
	SignatureType <SgnrTp>	[1..1]	CodeSet		2282

76.1.27.24.2.1 ApplicationForm <ApplForm>

Presence: [1..1]

Definition: Indicates whether a physical application form is required.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.24.2 SignatureType <SgntrTp>

Presence: [1..1]

Definition: Type of signature.

Datatype: [SignatureType1Code on page 3356](#)

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

76.1.27.24.3 AmountIndicator <AmtInd>

Presence: [0..1]

Definition: Indicates whether a switch can be instructed by amount.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.24.4 UnitsIndicator <UnitsInd>

Presence: [0..1]

Definition: Indicates whether a switch can be instructed as a number of units.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.24.5 Rounding <Rndg>

Presence: [0..1]

Definition: Indicates the rounding direction applied to nearest unit.

Datatype: [RoundingDirection2Code on page 3347](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

76.1.27.24.6 MainFundOrderDeskLocation <MainFndOrdrDskLctn>

Presence: [0..1]

Definition: Location of the main fund order desk.

MainFundOrderDeskLocation <MainFndOrdrDskLctn> contains the following elements (see [MainFundOrderDeskLocation1](#) on page 2264 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2264
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			2264
	Sign <Sgn>	[1..1]	Indicator		2265
	NumberOfHours <NbOfHrs>	[1..1]	Time		2265

76.1.27.24.7 DealingFrequency <DealgFrqcy>

Presence: [0..1]

Definition: Frequency at which the switches are done.

Datatype: [EventFrequency5Code](#) on page 3276

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

76.1.27.24.8 DealingFrequencyDescription <DealgFrqcyDesc>

Presence: [0..1]

Definition: Description of frequency at which the switch is done.

Datatype: [Max350Text](#) on page 3409

76.1.27.24.9 DealingCutOffTime <DealgCutOffTm>

Presence: [0..1]

Definition: Latest time at which an order to switch can be given.

Datatype: [ISOTime](#) on page 3411

76.1.27.24.10 DealingCutOffTimeFrame <DealgCutOffTmFrame>

Presence: [0..1]

Definition: Dealing cut-off timeframe.

Impacted by: C22 NonWorkingDayAdjustmentRule , C29 TradeMinusRule

DealingCutOffTimeFrame <DealgCutOffTmFrame> contains the following elements (see [TimeFrame4 on page 1833](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1834
	TradeMinus <TMns>	[0..1]	Quantity		1834
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1834
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1834

Constraints

- **NonWorkingDayAdjustmentRule**

(Rule)

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

```
On Condition
  /NonWorkingDayAdjustment is present
Following Must be True
  /TradeMinus Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradeMinus element must be present

- **TradeMinusRule**

(Rule)

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

```
On Condition
  /TradeMinus is present
Following Must be True
  /NonWorkingDayAdjustment Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00154
- *Error Text:* NonWorkingDayAdjustment element must be present

76.1.27.24.11 DealConfirmationTime <DealConfTm>

Presence: [0..1]

Definition: Time at which the deal confirmation is issued.

Datatype: [ISOTime on page 3411](#)

76.1.27.24.12 DealConfirmationTimeFrame <DealConfTmFrame>

Presence: [0..1]

Definition: Time frame within which the deal confirmation is issued.

Impacted by: [C25 NonWorkingDayAdjustmentRule](#) , [C32 TradePlusRule](#)

DealConfirmationTimeFrame <DealConfTmFrame> contains the following elements (see [TimeFrame5 on page 1831](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1832
	TradePlus <TPlus>	[0..1]	Quantity		1832
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1833
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1833

Constraints

- **NonWorkingDayAdjustmentRule**

(Rule)

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

```
On Condition
  /NonWorkingDayAdjustment is present
Following Must be True
  /TradePlus Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradeMinus element must be present

- **TradePlusRule**

(Rule)

If TradePlus is present then NonWorkingDayAdjustment must also be present.

```
On Condition
  /TradePlus is present
Following Must be True
  /NonWorkingDayAdjustment Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00419
- *Error Text:* NonWorkingDayAdjustment element must be present

76.1.27.24.13 LimitedPeriod <LtdPrd>

Presence: [0..1]

Definition: Specific period, for example, for some guaranteed funds, during which the units/shares may be switched.

Datatype: [Max350Text on page 3409](#)

76.1.27.24.14 SettlementCycle <SttlmCycl>

Presence: [0..1]

Definition: Settlement timing.

SettlementCycle <SttlmCycl> contains one of the following **TimeFrame8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TradePlus <TPlus>	[1..1]	Quantity		2286
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		2286

76.1.27.24.14.1 TradePlus <TPlus>

Presence: [1..1]

Definition: Number of days after the trade date (T) for the standard settlement timeframe.

Datatype: [Number on page 3405](#)

76.1.27.24.14.2 RenunciationPlus <RPlus>

Presence: [1..1]

Definition: Number of days after the renunciation of title documents are received used to define the standard settlement timeframe.

Datatype: [Number on page 3405](#)

76.1.27.24.15 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the switch processing characteristics.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.25 ProcessingCharacteristics5

Definition: Processing characteristics linked to a redemption from an investment fund or alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	2288
	RedemptionAuthorisation <RedAuthstn>	[0..1]			2288
	ApplicationForm <ApplForm>	[1..1]	Indicator		2288
	SignatureType <SgntrTp>	[1..1]	CodeSet		2289
	AmountIndicator <AmtInd>	[0..1]	Indicator		2289
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		2289
	Rounding <Rndg>	[0..1]	CodeSet		2289
	PercentageIndicator <PctgInd>	[0..1]	Indicator		2289
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		2290
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		2290
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		2290
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		2291
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	2291
	DealConfirmationTime <DealConfTm>	[0..1]	Time		2292
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C25, C32	2292
	LimitedPeriod <LtdPrd>	[0..1]	Text		2293
	SettlementCycle <SttlmCycl>	[0..1]			2293
{Or	TradePlus <TPlus>	[1..1]	Quantity		2293
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		2293
	AdditionalInformation <AddtlInf>	[0..*]	±		2293

Constraints

• **DealingCutOffTimeFrameRule**

(Rule)

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00156
- *Error Text:* At least one element must be present.

76.1.27.25.1 DealingCurrencyAccepted <DealgCcyAccptd>

Presence: [0..*]

Definition: Currency in which a redemption is accepted.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.25.2 RedemptionAuthorisation <RedAuthstn>

Presence: [0..1]

Definition: Specifies whether an application form is required for a redemption.

RedemptionAuthorisation <RedAuthstn> contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		2288
	SignatureType <SgnrTp>	[1..1]	CodeSet		2289

76.1.27.25.2.1 ApplicationForm <ApplForm>

Presence: [1..1]

Definition: Indicates whether a physical application form is required.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.25.2 SignatureType <SgntrTp>

Presence: [1..1]

Definition: Type of signature.

Datatype: [SignatureType1Code on page 3356](#)

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

76.1.27.25.3 AmountIndicator <AmtInd>

Presence: [0..1]

Definition: Indicates whether a redemption can be instructed by amount.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.25.4 UnitsIndicator <UnitsInd>

Presence: [0..1]

Definition: Indicates whether a redemption can be instructed as a number of units.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.25.5 Rounding <Rndg>

Presence: [0..1]

Definition: Indicates the rounding direction applied to nearest unit.

Datatype: [RoundingDirection2Code on page 3347](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

76.1.27.25.6 PercentagelIndicator <PctgInd>

Presence: [0..1]

Definition: Indicates whether a redemption can be instructed as a percentage of holding.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.25.7 MainFundOrderDeskLocation <MainFndOrdrDskLctn>

Presence: [0..1]

Definition: Location of the main fund order desk.

MainFundOrderDeskLocation <MainFndOrdrDskLctn> contains the following elements (see [MainFundOrderDeskLocation1](#) on page 2264 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2264
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			2264
	Sign <Sgn>	[1..1]	Indicator		2265
	NumberOfHours <NbOfHrs>	[1..1]	Time		2265

76.1.27.25.8 DealingFrequency <DealgFrqcy>

Presence: [0..1]

Definition: Frequency at which the redemptions are done.

Datatype: [EventFrequency5Code](#) on page 3276

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

76.1.27.25.9 DealingFrequencyDescription <DealgFrqcyDesc>

Presence: [0..1]

Definition: Description of frequency at which the redemption is done.

Datatype: [Max350Text](#) on page 3409

76.1.27.25.10 DealingCutOffTime <DealgCutOffTm>

Presence: [0..1]

Definition: Latest time at which an order to redeem can be given.

Datatype: [ISOTime](#) on page 3411

76.1.27.25.11 DealingCutOffTimeFrame <DealgCutOffTmFrame>

Presence: [0..1]

Definition: Dealing cut-off timeframe.

Impacted by: [C22 NonWorkingDayAdjustmentRule](#), [C29 TradeMinusRule](#)

DealingCutOffTimeFrame <DealgCutOffTmFrame> contains the following elements (see [TimeFrame4](#) on page 1833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1834
	TradeMinus <TMns>	[0..1]	Quantity		1834
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1834
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1834

Constraints

- **NonWorkingDayAdjustmentRule**

(Rule)

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

```
On Condition
  /NonWorkingDayAdjustment is present
Following Must be True
  /TradeMinus Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradeMinus element must be present

- **TradeMinusRule**

(Rule)

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

```
On Condition
  /TradeMinus is present
Following Must be True
  /NonWorkingDayAdjustment Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00154
- *Error Text:* NonWorkingDayAdjustment element must be present

76.1.27.25.12 DealConfirmationTime <DealConfTm>

Presence: [0..1]

Definition: Time at which the deal confirmation is issued.

Datatype: [ISOTime on page 3411](#)

76.1.27.25.13 DealConfirmationTimeFrame <DealConfTmFrame>

Presence: [0..1]

Definition: Time frame within which the deal confirmation is issued.

Impacted by: [C25 NonWorkingDayAdjustmentRule](#) , [C32 TradePlusRule](#)

DealConfirmationTimeFrame <DealConfTmFrame> contains the following elements (see [TimeFrame5 on page 1831](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1832
	TradePlus <TPlus>	[0..1]	Quantity		1832
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1833
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1833

Constraints

• **NonWorkingDayAdjustmentRule**

(Rule)

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

```
On Condition
    /NonWorkingDayAdjustment is present
Following Must be True
    /TradePlus Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00155
- *Error Text:* TradeMinus element must be present

• **TradePlusRule**

(Rule)

If TradePlus is present then NonWorkingDayAdjustment must also be present.

```
On Condition
    /TradePlus is present
```

Following Must be True
 /NonWorkingDayAdjustment Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00419
- *Error Text:* NonWorkingDayAdjustment element must be present

76.1.27.25.14 LimitedPeriod <LtdPrd>

Presence: [0..1]

Definition: Specific period, for example, for some guaranteed funds, during which the units/shares may be redeemed.

Datatype: [Max350Text on page 3409](#)

76.1.27.25.15 SettlementCycle <SttlmCycl>

Presence: [0..1]

Definition: Settlement timing.

SettlementCycle <SttlmCycl> contains one of the following **TimeFrame8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TradePlus <TPlus>	[1..1]	Quantity		2293
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		2293

76.1.27.25.15.1 TradePlus <TPlus>

Presence: [1..1]

Definition: Number of days after the trade date (T) for the standard settlement timeframe.

Datatype: [Number on page 3405](#)

76.1.27.25.15.2 RenunciationPlus <RPlus>

Presence: [1..1]

Definition: Number of days after the renunciation of title documents are received used to define the standard settlement timeframe.

Datatype: [Number on page 3405](#)

76.1.27.25.16 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the redemption processing characteristics.

AdditionalInformation <AddtInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.26 InvestmentRestrictions3

Definition: Investment restrictions linked to the trading of an investment fund, or an alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MinimumInitialSubscriptionAmount <MinInitlSbcptAmt>	[0..1]	Amount	C2, C10	2294
	MinimumInitialSubscriptionUnits <MinInitlSbcptUnits>	[0..1]	Quantity		2295
	MinimumSubsequentSubscriptionAmount <MinSbsqntSbcptAmt>	[0..1]	Amount	C2, C10	2295
	MinimumSubsequentSubscriptionUnits <MinSbsqntSbcptUnits>	[0..1]	Quantity		2296
	MaximumRedemptionAmount <MaxRedAmt>	[0..1]	Amount	C2, C10	2296
	MaximumRedemptionUnits <MaxRedUnits>	[0..1]	Quantity		2297
	MinimumRedemptionPercentage <MinRedPctg>	[0..1]	Quantity		2297
	OtherRedemptionRestrictions <OthrRedRstrctns>	[0..1]	Text		2297
	MinimumSwitchSubscriptionAmount <MinSwtchSbcptAmt>	[0..1]	Amount	C2, C10	2297
	MinimumSwitchSubscriptionUnits <MinSwtchSbcptUnits>	[0..1]	Quantity		2298
	MaximumSwitchRedemptionAmount <MaxSwtchRedAmt>	[0..1]	Amount	C2, C10	2298
	MaximumSwitchRedemptionUnits <MaxSwtchRedUnits>	[0..1]	Quantity		2299
	OtherSwitchRestrictions <OthrSwtchRstrctns>	[0..1]	Text		2299
	MinimumHoldingAmount <MinHldgAmt>	[0..1]	Amount	C2, C10	2299
	MinimumHoldingUnits <MinHldgUnits>	[0..1]	Quantity		2300
	MinimumHoldingPeriod <MinHldgPrd>	[0..1]	Text		2300
	HoldingTransferable <HldgTrfbl>	[0..1]	CodeSet		2300
	AdditionalInformation <AddtInf>	[0..*]	±		2300

76.1.27.26.1 MinimumInitialSubscriptionAmount <MinInitlSbcptAmt>

Presence: [0..1]

Definition: Minimum initial quantity of securities, expressed as an amount, that must be purchased at subscription.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.26.2 MinimumInitialSubscriptionUnits <MinInitlSbcptUnits>

Presence: [0..1]

Definition: Minimum initial number of units/shares that must be purchased.

Datatype: Number on page 3405

76.1.27.26.3 MinimumSubsequentSubscriptionAmount <MinSbsqntSbcptAmt>

Presence: [0..1]

Definition: Minimum quantity of securities, expressed as an amount, that must be purchased.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.26.4 MinimumSubsequentSubscriptionUnits <MinSbsqntSbcptUnits>

Presence: [0..1]

Definition: Minimum quantity of securities, expressed as number of units/shares that must be purchased.

Datatype: Number on page 3405

76.1.27.26.5 MaximumRedemptionAmount <MaxRedAmt>

Presence: [0..1]

Definition: Maximum quantity of securities, expressed as an amount, that can be sold.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text*: Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00007

– *Error Text*: Invalid currency code or too many decimal digits.

76.1.27.26.6 MaximumRedemptionUnits <MaxRedUnits>

Presence: [0..1]

Definition: Maximum number of shares/units that may be redeemed on a single dealing day.

Datatype: DecimalNumber on page 3405

76.1.27.26.7 MinimumRedemptionPercentage <MinRedPctg>

Presence: [0..1]

Definition: Minimum percentage of holding that may be redeemed.

Datatype: DecimalNumber on page 3405

76.1.27.26.8 OtherRedemptionRestrictions <OthrRedRstrctns>

Presence: [0..1]

Definition: Specifies any other restrictions that may limit an investor's ability to redeem.

Datatype: Max350Text on page 3409

76.1.27.26.9 MinimumSwitchSubscriptionAmount <MinSwchSbcptAmt>

Presence: [0..1]

Definition: Minimum quantity of securities, expressed as an amount, that must be purchased.

Impacted by: C2 ActiveCurrency__, C10 CurrencyAmount__

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.26.10 MinimumSwitchSubscriptionUnits <MinSwtchSbcptUnits>

Presence: [0..1]

Definition: Minimum quantity of securities, expressed as number of units/shares that must be purchased.

Datatype: DecimalNumber on page 3405

76.1.27.26.11 MaximumSwitchRedemptionAmount <MaxSwtchRedAmt>

Presence: [0..1]

Definition: Maximum quantity of securities, expressed as an amount, that can be sold.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.26.12 MaximumSwitchRedemptionUnits <MaxSwtchRedUnits>

Presence: [0..1]

Definition: Maximum number of shares/units that may be redeemed on a single dealing day.

Datatype: DecimalNumber on page 3405

76.1.27.26.13 OtherSwitchRestrictions <OthrSwtchRstrctns>

Presence: [0..1]

Definition: Specifies any other restrictions that may limit an investor's ability to switch.

Datatype: Max350Text on page 3409

76.1.27.26.14 MinimumHoldingAmount <MinHldgAmt>

Presence: [0..1]

Definition: Minimum value of units that must be maintained to avoid automatic redemption.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.26.15 MinimumHoldingUnits <MinHldgUnits>

Presence: [0..1]

Definition: Minimum number of units that must be maintained to avoid automatic redemption.

Datatype: [DecimalNumber on page 3405](#)

76.1.27.26.16 MinimumHoldingPeriod <MinHldgPrd>

Presence: [0..1]

Definition: Description of the period, that may be a number of days or weeks or another way of describing the period, during which the units/shares must be held following their issue before redemption will be permitted.

Datatype: [Max70Text on page 3410](#)

76.1.27.26.17 HoldingTransferable <HldgTrfbl>

Presence: [0..1]

Definition: Specifies how registered investors are able to transfer some or all of their holdings to third parties.

Datatype: [HoldingTransferable1Code on page 3293](#)

CodeName	Name	Definition
TRAL	TransferAllowed	Transfer is allowed.
TRNA	TransferNotAllowed	Transfer is not allowed.
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

76.1.27.26.18 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the investment restrictions.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.27.27 HoldBackInformation3

Definition: Information about hold back and gating.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2301
	Amount <Amt>	[0..1]	Amount	C2, C10	2301
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		2302
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		2302
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		2303
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		2303

76.1.27.27.1 Type <Tp>

Presence: [1..1]

Definition: Type of gating or a hold back.

Datatype: [GateHoldBack1Code on page 3286](#)

CodeName	Name	Definition
GATE	Gating	Gating of redemption proceeds.
HOLD	HoldBack	Hold back of redemption proceeds.

76.1.27.27.2 Amount <Amt>

Presence: [0..1]

Definition: Value of the redemption amount subject to gating or a hold back.

Impacted by: [C2 ActiveCurrency](#) __, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount on page 3238](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.27.3 ExpectedReleaseDate <XpctdRlsDt>

Presence: [0..1]

Definition: Date on which the gated amount or hold back amount is expected to be released.

Datatype: ISODate on page 3391

76.1.27.27.4 FinancialInstrumentIdentification <FinInstrmId>

Presence: [0..1]

Definition: New identification of the security.

FinancialInstrumentIdentification <FinInstrmId> contains one of the following elements (see SecurityIdentification25Choice on page 1928 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1928
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1929
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1929
Or	RIC <RIC>	[1..1]	IdentifierSet		1929
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1929
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1929
Or	CTA <CTA>	[1..1]	IdentifierSet		1929
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1929
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1930
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1930
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		1930
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1930
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1930
Or	Common <Cmon>	[1..1]	IdentifierSet		1930
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1930
	Identification <Id>	[1..1]	Text		1931
	IdentificationSource <IdSrc>	[1..1]	±		1931

76.1.27.27.5 FinancialInstrumentName <FinInstrmNm>

Presence: [0..1]

Definition: New name of the security.

Datatype: Max350Text on page 3409

76.1.27.27.6 RedemptionCompletion <RedCmpltn>

Presence: [0..1]

Definition: Specifies whether or not additional redemption order instructions are required in order for the redemption to be completed.

Datatype: RedemptionCompletion1Code on page 3333

CodeName	Name	Definition
RED0	RedemptionNo	It is not necessary to send more redemption order instructions to the executing party to complete the redemption, the executing will generate redemption confirmations automatically.
RED1	RedemptionYes	Additional redemption order instructions must be sent to the executing party order to have the rest of the redemption executed.

76.1.27.28 InvestmentFundTransaction3

Definition: Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TransactionType <TxTp>	[1..1]	CodeSet		2305
Or	ExtendedTransactionType <XtndedTxTp>	[1..1]	Text		2306
Or	CorporateActionEventType <CorpActnEvtTp>	[1..1]	CodeSet		2306
Or}	ExtendedCorporateActionEventType <XtndedCorpActnEvtTp>	[1..1]	Text		2308
	BookingStatus <BookgSts>	[0..1]	CodeSet		2308
	MasterReference <MstrRef>	[0..1]	Text		2309
	OrderReference <OrdrRef>	[0..1]	Text		2309
	ClientReference <ClntRef>	[0..1]	Text		2309
	DealReference <DealRef>	[0..1]	Text		2309
	LegIdentification <LegId>	[0..1]	Text		2309
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		2309
	OrderDateTime <OrdrDtTm>	[0..1]	DateTime		2309
	SettledTransactionIndicator <SttlTxInd>	[1..1]	Indicator		2310
	RegisteredTransactionIndicator <RegdTxInd>	[1..1]	Indicator		2310
	UnitsQuantity <UnitsQty>	[1..1]	±		2310
	CreditDebit <CdtDbt>	[1..1]	CodeSet		2310
	Reversal <Rvsl>	[0..1]	CodeSet		2310
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2311
	SettlementDate <SttlmDt>	[0..1]	Date		2311
	TradeDateTime <TradDtTm>	[1..1]	±		2311
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		2312
	PartiallyExecutedIndicator <PrtlyExctdInd>	[1..1]	Indicator		2312
	PriceDetails <PricDtls>	[0..1]			2312
{Or	Type <Tp>	[1..1]	CodeSet		2312
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2313
	Value <Val>	[1..1]	±		2314
	PriceMethod <PricMtd>	[0..1]	CodeSet		2314

Constraints

- **TransactionTypeLegExecutionIdentificationRule**
 (Rule)

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

- **TransactionTypeLegIdentificationRule**

(Rule)

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

76.1.27.28.1 TransactionType <TxTp>

Presence: [1..1]

Warning Either TransactionType or ExtendedTransactionType or CorporateActionEventType or ExtendedCorporateActionEventType must be present but not more than one.

Definition: Type of investment fund transaction.

Datatype: [TransactionType2Code on page 3378](#)

CodeName	Name	Definition
REDM	Redemption	Transaction is a redemption of an investment fund.
SUBS	Subscription	Transaction is a subscription to an investment fund.
SSPL	SubscriptionSavingsPlan	Transaction is a subscription for a savings plan, that is, money set aside by individuals in the framework of a structured plan for a special purpose, for example, retirement.
RWPL	RedemptionWithdrawingPlan	Transaction is a withdrawal by individuals in the framework of a structured plan for investments made in the past.
TRIN	TransferIn	Transaction is an incoming credit to an account on the shareholders register, and is not linked to a shift in investment (subscription or switch), but to account management.
TOUT	TransferOut	Transaction is a debit to an account on the shareholders register, and is not linked to a shift in investment (redemption or switch), but to account management.
SWII	SwitchIn	Transaction is a subscription leg of a switch order execution.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
SUAA	SubscriptionAssetAllocation	Transaction is a subscription in an asset allocation plan that enables investors to allocate, by percentage a certain amount of cash into several sub-funds of a same umbrella structure.

CodeName	Name	Definition
REAA	RedemptionAssetAllocation	Transaction is a redemption in an asset allocation plan which enables investors to withdraw, by percentage a certain amount of cash from several sub-funds of a same umbrella structure.

76.1.27.28.2 ExtendedTransactionType <XtndedTxTp>

Presence: [1..1]

Warning Either TransactionType or ExtendedTransactionType or CorporateActionEventType or ExtendedCorporateActionEventType must be present but not more than one.

Definition: Type of investment fund transaction.

Datatype: Extended350Code on page 3407

76.1.27.28.3 CorporateActionEventType <CorpActnEvtTp>

Presence: [1..1]

Warning Either TransactionType or ExtendedTransactionType or CorporateActionEventType or ExtendedCorporateActionEventType must be present but not more than one.

Definition: Type of corporate action event.

Datatype: CorporateActionEventType1Code on page 3264

CodeName	Name	Definition
DRIP	DividendReinvestment	Event is a dividend payment type where cash dividend is rolled over into additional shares in the issuing company.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or Sicavs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
DVCA	CashDividend	Event is a distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. The shareholder must take cash and is not offered a choice in the form of distribution.
DVOP	DividendOption	Event is a distribution of a dividend to shareholders with the choice of payment method. The shareholder must choose the form of payment - stock, cash, or both.
DVSE	StockDividend	Event is a dividend paid to shareholders in the form of shares of stock in the issuing company or in another company. The shareholder must take stock and is not offered a choice in the form of distribution.

CodeName	Name	Definition
LIQU	Liquidation	Event is a liquidating dividend or liquidation that consists of a distribution of cash, assets, or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security. The security holder may be able to choose the form of liquidation distribution.
MRGR	Merger	Event is a mandatory or voluntary exchange of outstanding securities as the result of two or more companies combining assets. Cash payments may accompany share exchange.
NAME	NameChange	Event is a name change. The issuing company changes its name. The event shows the change from old name to new name and may involve surrendering physical shares with the old name to the registrar.
SOFF	SpinOff	Event is a demerger or distribution or an unbundling. It is a distribution of subsidiary stock to the shareholders of the parent company without a surrender of shares. A spin-off represents a form of divestiture resulting in an independent company. Normally this is without cost to the parent issue shareholder.
SPLF	StockSplit	Event is a change in nominal value, a subdivision. It is an increase in a corporation's number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. Stock price and nominal value are reduced accordingly.
SPLR	ReverseStockSplit	Event is a change in nominal value, a consolidation. It is a decrease in number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. Stock price and nominal value are reduced accordingly.
TEND	Tender	Event is an acquisition or take-over or offre publique de retrait (FR) or purchase offer or buy-back. It is an offer made to shareholders requesting them to sell (tender) their shares for a specified price usually at a premium over prevailing market price. Generally, the objective of a tender offer is to take control of the target company.
BONU	BonusIssue	Event is a bonus issue or scrip issue or capitalisation issue. Security holders are awarded additional assets free of payment from the issuer in proportion to their holding. A bonus issue is typically represented by shares, rights or

CodeName	Name	Definition
		warrants. Nominal value doesn't change. Holder may be offered choice of form.
RHDI	RightsDistribution	Event is the distribution of rights to shareholders, in proportion to their equity holding.
EXRI	CallOnRights	Event is a call or exercise on nil-paid securities or rights resulting from a rights distribution (RHDI). This is to be used for the second event in those cases where the rights issue is dealt with in two events, the first event being the rights distribution (RHDI).
CHAN	Change	Event is a generic change. For example, a change in the terms of an issue, a change in the identification of a security, change of a board lot, a change from global to definitive.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a financial instrument is restated, eg, the debt in a national currency is restated in euro.
EXOP	ExchangeOption	Event is an option for the shareholders to exchange their securities for other securities and/or cash. Exchange options are mentioned in the terms and conditions of a security and are valid during the whole lifetime of a security.
EXOF	ExchangeOffer	Event is an exchange offer or capital reorganisation. It is an offer to shareholders to exchange their holdings for other securities and/or cash. Exchange offers are usually voluntary involving the exchange of outstanding security for a different security or securities and/or cash.
DECR	DecreaseInValue	Event is a reduction of the share capital and face value of a single share. The number of the circulating shares remains unchanged. It may include a capital payout to shareholder.

76.1.27.28.4 ExtendedCorporateActionEventType <XtndedCorpActnEvtTp>

Presence: [1..1]

Warning Either TransactionType or ExtendedTransactionType or CorporateActionEventType or ExtendedCorporateActionEventType must be present but not more than one.

Definition: Type of corporate action event.

Datatype: [Extended350Code](#) on page 3407

76.1.27.28.5 BookingStatus <BookgSts>

Presence: [0..1]

Definition: Status of an investment fund transaction.

Datatype: [TransactionStatus1Code on page 3378](#)

CodeName	Name	Definition
RVSL	Reversal	Transaction has been reversed.
REBO	Rebooked	Transaction has been rebooked.
CANC	Cancelled	Transaction has been cancelled.

76.1.27.28.6 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text on page 3409](#)

76.1.27.28.7 OrderReference <OrdRef>

Presence: [0..1]

Definition: Unique identifier for an order, as assigned by the sell-side. The identifier must be unique within a single trading day.

Datatype: [Max35Text on page 3409](#)

76.1.27.28.8 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

76.1.27.28.9 DealReference <DealRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for an order execution, as assigned by a confirming party.

Datatype: [Max35Text on page 3409](#)

76.1.27.28.10 LegIdentification <LegId>

Presence: [0..1]

Definition: Unique technical identifier for an instance of a leg within a switch.

Datatype: [Max35Text on page 3409](#)

76.1.27.28.11 LegExecutionIdentification <LegExctnId>

Presence: [0..1]

Definition: Unique identifier for an instance of a leg execution within a switch confirmation.

Datatype: [Max35Text on page 3409](#)

76.1.27.28.12 OrderDateTime <OrdDtTm>

Presence: [0..1]

Definition: Date and time at which the order was placed by the investor.

Datatype: [ISODatetime](#) on page 3391

76.1.27.28.13 SettledTransactionIndicator <StldTxInd>

Presence: [1..1]

Definition: Indicates whether the cash payment with respect to the executed order is settled.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.28.14 RegisteredTransactionIndicator <RegdTxInd>

Presence: [1..1]

Definition: Indicates whether the executed order has a registered status on the books of the transfer agent.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.28.15 UnitsQuantity <UnitsQty>

Presence: [1..1]

Definition: Number of investment funds units.

UnitsQuantity <UnitsQty> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.27.28.16 CreditDebit <CdtDbt>

Presence: [1..1]

Definition: Direction of the transaction being reported, ie, securities are received (credited) or delivered (debited).

Datatype: [CreditDebitCode](#) on page 3267

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

76.1.27.28.17 Reversal <Rvsl>

Presence: [0..1]

Definition: Transaction being reported is a reversal of previously reported transaction.

Datatype: [ReversalCode](#) on page 3346

CodeName	Name	Definition
RVCD	ReversalCredit	Debit entry used to reverse a previously booked credit entry.
RVDB	ReversalDebit	Credit entry used to reverse a previously booked debit entry.

76.1.27.28.18 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Amount of money to be moved between the debtor and creditor, before deduction of charges, expressed in the currency as ordered by the initiating party.

Impacted by: C2 ActiveCurrency ____, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.28.19 SettlementDate <SttlmDt>

Presence: [0..1]

Definition: Date on which the debtor expects the amount of money to be available to the creditor.

Datatype: ISODate on page 3391

76.1.27.28.20 TradeDateTime <TradDtTm>

Presence: [1..1]

Definition: Date and time at which a price is applied, according to the terms stated in the prospectus.

TradeDate <TradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.27.28.21 CumDividendIndicator <CumDvddInd>

Presence: [1..1]

Definition: Indicates whether the dividend is included, ie, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.28.22 PartiallyExecutedIndicator <PrtlyExctdInd>

Presence: [1..1]

Definition: Indicates whether the order has been partially executed, ie, the confirmed quantity does not match the ordered quantity for a given financial instrument.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.28.23 PriceDetails <PricDtls>

Presence: [0..1]

Definition: Price at which the order was executed.

PriceDetails <PricDtls> contains the following **UnitPrice11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2312
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2313
	Value <Val>	[1..1]	±		2314
	PriceMethod <PricMtd>	[0..1]	CodeSet		2314

76.1.27.28.23.1 Type <Tp>

Presence: [1..1]

Warning Either Type or ExtendedType must be present, but not both.

Definition: Type and information about a price.

Datatype: TypeOfPrice10Code on page 3382

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.

76.1.27.28.23.2 ExtendedType <XtndedTp>

Presence: [1..1]

Warning Either Type or ExtendedType must be present, but not both.

Definition: Type and information about a price.

Datatype: [Extended350Code on page 3407](#)

76.1.27.28.23.3 Value <Val>

Presence: [1..1]

Definition: Value of the price, eg, as a currency and value.

Value <Val> contains the following elements (see [PriceValue1 on page 2894](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2894

76.1.27.28.23.4 PriceMethod <PricMtd>

Presence: [0..1]

Definition: Type of pricing calculation method.

Datatype: [PriceMethod1Code on page 3330](#)

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

76.1.27.29 FundOrderData6

Definition: Extract of trade data for an investment fund switch order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2315
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		2315
	AdditionalAmount <AddtlAmt>	[0..1]	±		2316
	UnitCurrency <UnitCcy>	[0..1]	CodeSet	C2	2316
	QuotedCurrency <QtdCcy>	[0..1]	CodeSet	C2	2316

Constraints

- **SwitchOrderDataElementRule**
(Rule)

One of the elements (SettlementAmount, SettlementMethod, AdditionalAmount, UnitCurrency, QuotedCurrency) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.27.29.1 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.29.2 SettlementMethod <SttlmMtd>

Presence: [0..1]

Definition: Method by which the transaction is settled.

Datatype: DeliveryReceiptType2Code on page 3270

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

76.1.27.29.3 AdditionalAmount <AddtlAmt>

Presence: [0..1]

Definition: Choice between additional cash in or resulting cash out.

AdditionalAmount <AddtlAmt> contains one of the following elements (see [AdditionalAmount1Choice](#) on page 2320 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AdditionalCashIn <AddtlCshIn>	[1..1]	Amount	C3, C12	2320
Or}	ResultingCashOut <RsltgCshOut>	[1..1]	Amount	C3, C12	2321

76.1.27.29.4 UnitCurrency <UnitCcy>

Presence: [0..1]

Definition: Currency from which the quoted currency is converted in an exchange rate calculation.

1 x <UnitCcy> = <XchgRate> x <QtdCcy>.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode](#) on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.29.5 QuotedCurrency <QtdCcy>

Presence: [0..1]

Definition: Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \langle \text{UnitCcy} \rangle = \langle \text{XchgRate} \rangle \times \langle \text{QtdCcy} \rangle.$

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.30 ExpectedExecutionDetails2

Definition: Expected trade date and expected settlement date of the order execution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExpectedTradeDateTime <XpctdTradDtTm>	[0..1]	±		2317
	ExpectedCashSettlementDate <XpctdCshSttlmDt>	[0..1]	Date		2317

76.1.27.30.1 ExpectedTradeDateTime <XpctdTradDtTm>

Presence: [0..1]

Definition: Expected date or expected date and time at which a price will be applied according to the terms of the prospectus.

ExpectedTradeDateTime <XpctdTradDtTm> contains one of the following elements (see DateAndDateTimeChoice on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.27.30.2 ExpectedCashSettlementDate <XpctdCshSttlmDt>

Presence: [0..1]

Definition: Expected date at which the financial instruments will be exchanged against cash.

Datatype: ISODate on page 3391

76.1.27.31 OrderWaiver1

Definition: Information about how an order is to be processed.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			2318
{Or	Code <Cd>	[1..1]	CodeSet		2318
Or}	Proprietary <Prtry>	[1..1]	±		2319
	InformationValue <InfVal>	[0..1]	Text		2319

Constraints

- **WaiverElementRule**

(Rule)

Either OrderWaiverReason or InformationValue must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.27.31.1 OrderWaiverReason <OrdrWvrRsn>

Presence: [0..*]

Definition: Reason why the order has to be handled differently, probably in a manual fashion, because, for example, the investment manager has agreed a waiver to the terms.

OrderWaiverReason <OrdrWvrRsn> contains one of the following **OrderWaiverReason3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2318
Or}	Proprietary <Prtry>	[1..1]	±		2319

76.1.27.31.1.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the waiver expressed as a code.

Datatype: [OrderWaiverReason1Code](#) on page 3319

CodeName	Name	Definition
LATE	LateTradeDealing	Dealing of the trade is outside the normal limit.
FEND	FrontEndLoadCharge	Front end load charge differs from PPM.
BMIN	BelowMinimumInvestmentAmount	Amount of subscription is below the minimum initial investment amount.

CodeName	Name	Definition
CUTO	CutOffDate	Cut off date has been passed.
COMW	CommissionWaiver	Standard commission is waived.

76.1.27.31.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the waiver expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.27.31.2 InformationValue <InfVal>

Presence: [0..1]

Definition: Additional information about the order waiver.

Datatype: [Max350Text on page 3409](#)

76.1.27.32 Equalisation1

Definition: Part of an investor's subscription amount that is held by the fund in order to pay incentive / performance fees at the end of the fiscal year.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2319
	Rate <Rate>	[0..1]	Rate		2320

76.1.27.32.1 Amount <Amt>

Presence: [0..1]

Definition: Amount of money resulting from the calculation of the equalisation.

Impacted by: [C3 ActiveOrHistoricCurrency](#) __, [C12 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.32.2 Rate <Rate>

Presence: [0..1]

Definition: Rate used for calculation of the equalisation.

Datatype: [PercentageRate on page 3406](#)

76.1.27.33 AdditionalAmount1Choice

Definition: Choice between additional cash in or resulting cash out.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AdditionalCashIn <AddtlCshIn>	[1..1]	Amount	C3, C12	2320
Or}	ResultingCashOut <RsltgCshOut>	[1..1]	Amount	C3, C12	2321

76.1.27.33.1 AdditionalCashIn <AddtlCshIn>

Presence: [1..1]

Definition: Additional amount of money paid by the investor in addition to the switch redemption amount.

Impacted by: [C3 ActiveOrHistoricCurrency](#) __, [C12 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount on page 3239](#)

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.33.2 ResultingCashOut <RsltgCshOut>

Presence: [1..1]

Definition: Amount of money that results from a switch-out, that is not reinvested in another investment fund, and is repaid to the investor.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.34 ExpectedExecutionDetails4

Definition: Expected trade date and expected settlement date of the order execution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExpectedTradeDateTime <XpctdTradDtTm>	[0..1]	±		2322
	ExpectedCashSettlementDate <XpctdCshSttImDt>	[0..1]	Date		2322

Constraints

- **DateElementRule**

(Rule)

Either ExpectedTradeDateTime or ExpectedCashSettlementDate must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.27.34.1 ExpectedTradeDateTime <XpctdTradDtTm>

Presence: [0..1]

Definition: Expected date or expected date and time at which a price will be applied according to the terms of the prospectus.

ExpectedTradeDateTime <XpctdTradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.27.34.2 ExpectedCashSettlementDate <XpctdCshSttImDt>

Presence: [0..1]

Definition: Date of a payment, for example, a prepayment date.

Datatype: [ISODate](#) on page 3391

76.1.27.35 FundOrderData5

Definition: Extract of trade data for an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	2323
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	2324
	UnitsNumber <UnitsNb>	[0..1]	Quantity		2325
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	2325
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C12	2326
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		2327
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2327
	UnitCurrency <UnitCcy>	[0..1]	CodeSet	C2	2328
	QuotedCurrency <QtdCcy>	[0..1]	CodeSet	C2	2328

Constraints

- **OrderDataElementRule**

(Rule)

One of the elements (InvestmentAccountDetails, FinancialInstrumentDetails, UnitsNumber, NetAmount, GrossAmount, HoldingsRedemptionRate, SettlementAmount, UnitCurrency, QuotedCurrency) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.27.35.1 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the individual order instruction for which the status is given.

Impacted by: C20 OrderOriginatorEligibility2Rule

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58 on page 2149](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

76.1.27.35.2 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..1]

Definition: Financial instrument information of the individual order instruction for which the status is given.

Impacted by: [C17 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57 on page 1894](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.27.35.3 UnitsNumber <UnitsNb>

Presence: [0..1]

Definition: Number of investment fund units subscribed or redeemed.

Datatype: [DecimalNumber on page 3405](#)

76.1.27.35.4 NetAmount <NetAmt>

Presence: [0..1]

Definition: When the status message is used for a subscription, this is the amount of money to be invested in the fund.

Net Amount = Quantity * Price.

When the status message is used for a redemption, this is the amount of money to be received following redemption of fund units.

Net Amount = (Quantity * Price) - (Fees + Taxes).

Impacted by: [C3 ActiveOrHistoricCurrency](#) , [C12 CurrencyAmount](#)

Datatype: [ActiveOrHistoricCurrencyAndAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.35.5 GrossAmount <GrssAmt>

Presence: [0..1]

Definition: When the status message is used for a subscription, this is the amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity * Price) + (Fees + Taxes).

When the status message is used for a redemption, this is the amount of money to be redeemed from the fund.

Gross Amount = Quantity * Price.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.35.6 HoldingsRedemptionRate <HldgsRedRate>

Presence: [0..1]

Definition: Portion of the investor's holdings, in a specific investment fund/fund class, that is redeemed.

Datatype: PercentageRate on page 3406

76.1.27.35.7 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

Impacted by: C2 ActiveCurrency ____, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.35.8 UnitCurrency <UnitCcy>

Presence: [0..1]

Definition: Currency from which the quoted currency is converted in an exchange rate calculation.

$1 \times \langle \text{UnitCcy} \rangle = \langle \text{XchgRate} \rangle \times \langle \text{QtdCcy} \rangle.$

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.35.9 QuotedCurrency <QtdCcy>

Presence: [0..1]

Definition: Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \langle \text{UnitCcy} \rangle = \langle \text{XchgRate} \rangle \times \langle \text{QtdCcy} \rangle.$

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.27.36 HoldBackInformation2

Definition: Information about hold back and gating.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2329
	Amount <Amt>	[0..1]	Amount	C2, C10	2329
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		2330
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		2330
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		2331
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		2331
	FinalConfirmation <FnlConf>	[0..1]	Indicator		2332

76.1.27.36.1 Type <Tp>

Presence: [1..1]

Definition: Type of gating or a hold back.

Datatype: GateHoldBack1Code on page 3286

CodeName	Name	Definition
GATE	Gating	Gating of redemption proceeds.
HOLD	HoldBack	Hold back of redemption proceeds.

76.1.27.36.2 Amount <Amt>

Presence: [0..1]

Definition: Value of the redemption amount subject to gating or a hold back.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.36.3 ExpectedReleaseDate <XpctdRIsDt>

Presence: [0..1]

Definition: Date on which the gated amount or hold back amount is expected to be released.

Datatype: ISODate on page 3391

76.1.27.36.4 FinancialInstrumentIdentification <FinInstrmId>

Presence: [0..1]

Definition: New identification of the security.

FinancialInstrumentIdentification <FinInstrmId> contains one of the following elements (see [SecurityIdentification25Choice](#) on page 1928 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1928
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1929
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1929
Or	RIC <RIC>	[1..1]	IdentifierSet		1929
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1929
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1929
Or	CTA <CTA>	[1..1]	IdentifierSet		1929
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1929
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1930
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1930
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		1930
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1930
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1930
Or	Common <Cmon>	[1..1]	IdentifierSet		1930
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1930
	Identification <Id>	[1..1]	Text		1931
	IdentificationSource <IdSrc>	[1..1]	±		1931

76.1.27.36.5 FinancialInstrumentName <FinInstrmNm>

Presence: [0..1]

Definition: New name of the security.

Datatype: [Max350Text](#) on page 3409

76.1.27.36.6 RedemptionCompletion <RedCmpltn>

Presence: [0..1]

Definition: Specifies whether or not additional redemption order instructions are required in order for the redemption to be completed.

Datatype: [RedemptionCompletion1Code](#) on page 3333

CodeName	Name	Definition
RED0	RedemptionNo	It is not necessary to send more redemption order instructions to the executing party to complete the redemption, the executing will generate redemption confirmations automatically.

CodeName	Name	Definition
RED1	RedemptionYes	Additional redemption order instructions must be sent to the executing party order to have the rest of the redemption executed.

76.1.27.36.7 FinalConfirmation <FnlConf>

Presence: [0..1]

Definition: Indicates whether or not this is the final redemption confirmation in the execution of a gated redemption.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.37 InvestmentFundRole2Choice

Definition: Choice of formats for a Role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2332
Or}	Proprietary <Prtry>	[1..1]	±		2333

76.1.27.37.1 Code <Cd>

Presence: [1..1]

Definition: Role expressed as a code.

Datatype: [InvestmentFundRole2Code](#) on page 3302

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may

CodeName	Name	Definition
		calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

76.1.27.37.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Role expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.27.38 InvestmentFundsOrderBreakdown2

Definition: An investor's instruction to either subscribe or redeem an amount of money or its equivalent, for example, other assets, into or out of an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	Amount <Amt>	[1..1]	Amount	C2, C10	2335

76.1.27.38.1 OrderBreakdownType <OrdrBrkdwnTp>

Presence: [1..1]

Definition: Type of order breakdown.

OrderBreakdownType <OrdrBrkdwnTp> contains one of the following **OrderBreakdownType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334

76.1.27.38.1.1 Code <Cd>

Presence: [1..1]

Definition: Order breakdown type expressed as a code.

Datatype: [FundOrderType5Code on page 3285](#)

CodeName	Name	Definition
NSPN	NormalStaffPortion	That part of an investment fund order attributed to a normal staff portion.
NCPN	NormalClientPortion	That part of an investment fund order attributed to a normal client portion.
SWSP	StaffWithSavingsPlan	That part of an investment fund order attributed to a staff member with a savings plan.
CWSP	ClientWithSavingsPlan	That part of an investment fund order attributed to a client with a savings plan.

76.1.27.38.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Order breakdown type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.27.38.2 Amount <Amt>

Presence: [1..1]

Definition: Portion of the net amount that is attributed to an order type.

Impacted by: [C2 ActiveCurrency](#) __, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.39 FundOrderType4Choice

Definition: Choice of formats for the order type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2336
Or}	Proprietary <Prtry>	[1..1]	±		2336

76.1.27.39.1 Code <Cd>

Presence: [1..1]

Definition: Type of the investment fund order expressed as a code.

Datatype: [FundOrderType8Code on page 3285](#)

CodeName	Name	Definition
BEDB	BedAndBreakfast	Investment fund order is part of a bed and breakfast transaction.
INVP	InvestmentPlan	Investment fund order is related to an investment plan (only applicable to a subscription).
PREA	PreAdvice	Investment fund order is executed with specific pre-advice conditions.
RGSV	RegularSavingsPlan	Investment fund order is a regular savings plan (only applicable to a subscription).
RGSU	RegularSavingsPlanUpdate	Investment fund order is paying extra money into to an existing plan (only applicable to a subscription).
RDIV	ReinvestmentOfDividend	Investment fund order is a dividend reinvestment (only applicable to a subscription).
STAF	StaffOrder	Investment fund order is a staff order.
WIDP	Withdrawal	Investment fund order is for a withdrawal investment plan (only applicable to a redemption).

76.1.27.39.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of the investment fund order expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.27.40 InvestmentFundOrder4

Definition: Identifies an order linked to an account opening.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdRef>	[0..1]	Text		2337
	MasterReference <MstrRef>	[0..1]	Text		2337

76.1.27.40.1 OrderReference <OrdRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for an order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

76.1.27.40.2 MasterReference <MstrRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

Datatype: [Max35Text on page 3409](#)

76.1.27.41 ExpectedExecutionDetails3

Definition: Expected trade date and expected settlement date of the order execution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExpectedTradeDateTime <XpctdTradDtTm>	[0..1]	±		2337
	ExpectedCashSettlementDate <XpctdCshSttlmDt>	[0..1]	Date		2338
	ExpectedExecutedAmount <XpctdExctdAmt>	[1..1]	Amount	C2, C10	2338
	PaymentInIndicator <PmtInInd>	[0..1]	Indicator		2339
	PaymentReference <PmtRef>	[0..1]	Text		2339
	PrepaymentDate <PrepmtDt>	[0..1]	Date		2339
	TopUpAmount <TopUpAmt>	[0..1]	Amount	C2, C10	2339
	HoldBackDetails <HldBckDtls>	[0..1]	±		2340
	SidePocketQuantity <SdPcktQty>	[0..1]	±		2340

76.1.27.41.1 ExpectedTradeDateTime <XpctdTradDtTm>

Presence: [0..1]

Definition: Expected date and time at which the price is applied, ie, the expected execution date for the order.

ExpectedTradeDateTime <XpctdTradDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.27.41.2 ExpectedCashSettlementDate <XpctdCshSttlmDt>

Presence: [0..1]

Definition: Expected date on which the cash will be available.

Datatype: [ISODate](#) on page 3391

76.1.27.41.3 ExpectedExecutedAmount <XpctdExctdAmt>

Presence: [1..1]

Definition: Expected execution amount.

Impacted by: [C2 ActiveCurrency](#) ____, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.41.4 PaymentIndicator <PmtInInd>

Presence: [0..1]

Definition: Indicates, for the status of a subscription, whether payment has been received by the executing party.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.27.41.5 PaymentReference <PmtRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a payment transaction, as assigned by the originator. The payment transaction reference is used for reconciliation or to link tasks relating to the payment transaction.

Datatype: [Max35Text](#) on page 3409

76.1.27.41.6 PrepaymentDate <PrepmtDt>

Presence: [0..1]

Definition: Date of the prepayment, if applicable.

Datatype: [ISODate](#) on page 3391

76.1.27.41.7 TopUpAmount <TopUpAmt>

Presence: [0..1]

Definition: Additional amount of money (top-up amount) required to meet the minimum subscription amount.

Impacted by: [C2 ActiveCurrency](#) ____, [C10 CurrencyAmount](#) ____

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.41.8 HoldBackDetails <HldBckDtls>

Presence: [0..1]

Definition: Information about hold back of redemption proceeds.

HoldBackDetails <HldBckDtls> contains the following elements (see [HoldBackInformation1](#) on page 2342 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	HoldBackAmount <HldBckAmt>	[0..1]	Amount	C2, C10	2342
	HoldBackReleaseDate <HldBckRlsDt>	[0..1]	Date		2342

76.1.27.41.9 SidePocketQuantity <SdPcktQty>

Presence: [0..1]

Definition: Quantity of the side pocket.

SidePocketQuantity <SdPcktQty> contains the following elements (see [SidePocketQuantityAndAmount1](#) on page 2340 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[0..1]	±		2340
	OrderedAmount <OrdrdAmt>	[0..1]	Amount	C2, C10	2341
	HoldingsRate <HldgsRate>	[0..1]	Rate		2341

76.1.27.42 SidePocketQuantityAndAmount1

Definition: Quantity of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[0..1]	±		2340
	OrderedAmount <OrdrdAmt>	[0..1]	Amount	C2, C10	2341
	HoldingsRate <HldgsRate>	[0..1]	Rate		2341

76.1.27.42.1 UnitsNumber <UnitsNb>

Presence: [0..1]

Definition: Total of quantity of units subscribed or redeemed in the lot or side pocket.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.27.42.2 OrderedAmount <OrdrdAmt>

Presence: [0..1]

Definition: Amount of money invested or redeemed into the lot or side pocket.

Impacted by: [C2 ActiveCurrency](#), [C10 CurrencyAmount](#)

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.42.3 HoldingsRate <HldgsRate>

Presence: [0..1]

Definition: Percentage of the financial instrument quantity invested or redeemed in the lot or side pocket.

Datatype: [PercentageRate](#) on page 3406

76.1.27.43 HoldBackInformation1

Definition: Information about hold back.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	HoldBackAmount <HldBckAmt>	[0..1]	Amount	C2, C10	2342
	HoldBackReleaseDate <HldBckRlsDt>	[0..1]	Date		2342

76.1.27.43.1 HoldBackAmount <HldBckAmt>

Presence: [0..1]

Definition: Value of the redemption amount subject to hold back.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.43.2 HoldBackReleaseDate <HldBckRlsDt>

Presence: [0..1]

Definition: Date on which the hold back amount is to be released.

Datatype: ISODate on page 3391

76.1.27.44 Equalisation2

Definition: Part of an investor's subscription amount that is held by the fund in order to pay incentive / performances fees at the end of a performance period.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	2343
	Rate <Rate>	[0..1]	Rate		2343
	CreditDebitIndicator <CdtDbtInd>	[0..1]	CodeSet		2344

76.1.27.44.1 Amount <Amt>

Presence: [0..1]

Definition: Amount of money resulting from the calculation of the equalisation.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.27.44.2 Rate <Rate>

Presence: [0..1]

Definition: Rate used for calculation of the equalisation.

Datatype: [PercentageRate](#) on page 3406

76.1.27.44.3 CreditDebitIndicator <CdtDbtInd>

Presence: [0..1]

Definition: Specifies if the amount is a debit (negative) or credit (positive) amount.

Datatype: [CreditDebitCode](#) on page 3267

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

76.1.27.45 SwitchExecution5

Definition: Extract of trade data for a switch order confirmation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		2344
	RedemptionLeg <RedLeg>	[1..*]			2345
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		2345
	LegIdentification <LegId>	[0..1]	Text		2345
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		2345
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	2346
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		2347
	SubscriptionLeg <SbcptLeg>	[1..*]			2347
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		2348
	LegIdentification <LegId>	[0..1]	Text		2348
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		2348
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	2348
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		2349

76.1.27.45.1 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the switch order / switch order confirmation for which the advice is given.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30 on page 2152](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

76.1.27.45.2 RedemptionLeg <RedLeg>

Presence: [1..*]

Definition: Redemption leg information of the switch order / switch order confirmation for which the advice is given.

RedemptionLeg <RedLeg> contains the following **SwitchExecutionRedemptionLeg4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		2345
	LegIdentification <LegId>	[0..1]	Text		2345
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		2345
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	2346
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		2347

76.1.27.45.2.1 LegExecutionIdentification <LegExctnId>

Presence: [0..1]

Definition: Unique identifier for an instance of a leg execution within a switch confirmation.

Datatype: [Max35Text on page 3409](#)

76.1.27.45.2.2 LegIdentification <LegId>

Presence: [0..1]

Definition: Unique technical identifier for an instance of a leg within a switch.

Datatype: [Max35Text on page 3409](#)

76.1.27.45.2.3 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the switch order / switch order confirmation for which the advice is given.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30](#) on page 2152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

76.1.27.45.2.4 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..1]

Definition: Financial instrument information of the redemption leg of the switch order /switch order confirmation for which the advice is given.

Impacted by: [C10 NameRule](#), [C9 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument18](#) on page 1908 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <SctyId>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <OthrlId>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueldentificationDate <Srs/IsseldDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <NewIsselnd>	[0..1]	Indicator		1911
	SupplementaryIdentification <Splmtryld>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

76.1.27.45.2.5 FinancialInstrumentQuantity <FinInstrmQty>

Presence: [0..1]

Definition: Quantity of an order.

FinancialInstrumentQuantity <FinInstrmQty> contains the following elements (see [FinancialInstrumentQuantity3](#) on page 1965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	±		1965
	OrderedAmount <OrdrdAmt>	[0..1]	Amount	C3, C12	1965
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1966
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C12	1967
	ExecutedAmount <ExctdAmt>	[0..1]	Amount	C2, C10	1968
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		1968
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	1968

76.1.27.45.3 SubscriptionLeg <SbcptLeg>

Presence: [1..*]

Definition: Subscription leg information of the switch order / switch order confirmation for which the advice is given.

SubscriptionLeg <SbcptLeg> contains the following **SwitchExecutionSubscriptionLeg4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LegExecutionIdentification <LegExctnId>	[0..1]	Text		2348
	LegIdentification <LegId>	[0..1]	Text		2348
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±		2348
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C10, C9	2348
	FinancialInstrumentQuantity <FinInstrmQty>	[0..1]	±		2349

76.1.27.45.3.1 LegExecutionIdentification <LegExctnId>

Presence: [0..1]

Definition: Unique identifier for an instance of a leg execution within a switch confirmation.

Datatype: [Max35Text on page 3409](#)

76.1.27.45.3.2 LegIdentification <LegId>

Presence: [0..1]

Definition: Unique technical identifier for an instance of a leg within a switch.

Datatype: [Max35Text on page 3409](#)

76.1.27.45.3.3 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the switch order / switch order confirmation for which the advice is given.

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount30 on page 2152](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Account <Acct>	[1..1]	±		2153
	Designation <Dsgnt>	[0..1]	Text		2153
	Owner <Ownr>	[0..*]	±		2153
	Servicer <Svcr>	[0..1]	±		2154
	SubAccount <SubAcct>	[0..1]			2154
	Identification <Id>	[1..1]	Text		2154
	Name <Nm>	[0..1]	Text		2154
	Characteristic <Chrtc>	[0..1]	Text		2154

76.1.27.45.3.4 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..1]

Definition: Financial instrument information of the subscription leg of the switch order /switch order confirmation for which the advice is given.

Impacted by: [C10 NameRule](#), [C9 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument18 on page 1908](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1909
	SecurityIdentification <SctyId>	[1..1]			1909
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1909
Or}	OtherIdentification <OthrId>	[1..1]			1910
	Identification <Id>	[1..1]	Text		1910
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	1910
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		1910
	Description <Desc>	[0..1]	Text		1911
	Name <Nm>	[0..1]	Text		1911
	SeriesIssueIdentificationDate <SrsIsseldDt>	[0..1]	Date		1911
	SeriesName <SrsNm>	[0..1]	Text		1911
	NewIssueIndicator <NewIsselnd>	[0..1]	Indicator		1911
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1911

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityID.

- **NameRule**

(Rule)

If the ISINIdentifier contradicts the Name, the ISIN Identifier is used as the identification of the instrument and the name is ignored.

76.1.27.45.3.5 FinancialInstrumentQuantity <FinInstrmQty>

Presence: [0..1]

Definition: Quantity of an order.

FinancialInstrumentQuantity <FinInstrmQty> contains the following elements (see [FinancialInstrumentQuantity2](#) on page 1969 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	±		1969
	OrderedAmount <OrdrdAmt>	[0..1]	Amount	C3, C12	1970
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1970
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C12	1971
	ExecutedAmount <ExctdAmt>	[0..1]	Amount	C2, C10	1972
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	1973

76.1.28 Market

76.1.28.1 PlaceOfTradeIdentification1Choice

Definition: Context, or geographic environment, in which trading parties may meet in order to negotiate and execute trades among themselves.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	2350
Or	Exchange <Xchg>	[1..1]	IdentifierSet		2351
Or	Party <Pty>	[1..1]	IdentifierSet	C7	2351
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		2351

76.1.28.1.1 Country <Ctry>

Presence: [1..1]

Definition: Country in which the transaction is executed.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.28.1.2 Exchange <Xchg>

Presence: [1..1]

Definition: Exchange at which the transaction is executed.

Datatype: MICIdentifier on page 3401

76.1.28.1.3 Party <Pty>

Presence: [1..1]

Definition: Party's location at which the transaction is executed.

Impacted by: C7 AnyBIC

Datatype: AnyBICIdentifier on page 3392

Constraints

- **AnyBIC**

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.28.1.4 OverTheCounter <OverTheCntr>

Presence: [1..1]

Definition: Place at which the Over-the-Counter (OTC) transaction is executed.

Datatype: Max35Text on page 3409

76.1.28.2 TargetMarket5Choice

Definition: Choice of formats for the specification of how a financial product is in scope of a target market parameter.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2352
Or}	Other <Othr>	[1..1]	CodeSet		2352

76.1.28.2.1 Type <Tp>

Presence: [1..1]

Definition: Specifies how the financial product is in scope of the target market parameter.

Datatype: [InvestorType4Code](#) on page 3312

CodeName	Name	Definition
BOT3	BothProfessionalPerSeAndElectiveProfessional	Investor is both professional per se and elective professional.
NPRF	NotProfessionalPerSeElectiveProfessional	Investor is neither professional per se or elective professional.
PRF3	ProfessionalPerSeNotElectiveProfessional	Investor is professional per se but not elective professional.
PRF4	ElectiveProfessionalNotProfessionalPerSe	Investor is an elective professional but not professional per se.

76.1.28.2.2 Other <Othr>

Presence: [1..1]

Definition: Specifies whether the financial product is in scope of the target market parameter.

Datatype: [TargetMarket1Code](#) on page 3359

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

76.1.28.3 OtherTargetMarketRiskTolerance1

Definition: Risk tolerance target market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RiskToleranceType <RskTlrnceTp>	[0..1]	Text		2352
	Target <Trgt>	[0..1]			2352
{Or	Code <Cd>	[1..1]	CodeSet		2353
Or}	Proprietary <Prtry>	[1..1]	±		2353
	AdditionalInformation <AddtlInf>	[0..1]	±		2353

76.1.28.3.1 RiskToleranceType <RskTlrnceTp>

Presence: [0..1]

Definition: Type of risk tolerance.

Datatype: [Max35Text](#) on page 3409

76.1.28.3.2 Target <Trgt>

Presence: [0..1]

Definition: Choice of formats for the specification of whether the product is aimed at the type of risk tolerance.

Target <Trgt> contains one of the following **TargetMarket1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2353
Or}	Proprietary <Prtry>	[1..1]	±		2353

76.1.28.3.2.1 Code <Cd>

Presence: [1..1]

Definition: Specifies whether the product is aimed at the target expressed as a code.

Datatype: [TargetMarket1Code on page 3359](#)

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

76.1.28.3.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Specifies whether the product is aimed at the target expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.28.3.3 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the target market and the investor's risk tolerance.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.28.4 OtherTargetMarketLossBearing1

Definition: Loss bearing target market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AbilityToBearLossesType <AblyToBearLossesTp>	[0..1]	Text		2354
	Target <Trgt>	[0..1]			2354
{Or	Code <Cd>	[1..1]	CodeSet		2354
Or}	Proprietary <Prtry>	[1..1]	±		2354
	AdditionalInformation <AddtlInf>	[0..1]	±		2355

76.1.28.4.1 AbilityToBearLossesType <AblyToBearLossesTp>

Presence: [0..1]

Definition: Type of loss bearing.

Datatype: Max35Text on page 3409

76.1.28.4.2 Target <Trgt>

Presence: [0..1]

Definition: Choice of formats for the specification of whether the product is aimed at the type of loss bearing.

Target <Trgt> contains one of the following **TargetMarket1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2354
Or}	Proprietary <Prtry>	[1..1]	±		2354

76.1.28.4.2.1 Code <Cd>

Presence: [1..1]

Definition: Specifies whether the product is aimed at the target expressed as a code.

Datatype: TargetMarket1Code on page 3359

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

76.1.28.4.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Specifies whether the product is aimed at the target expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.28.4.3 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the target market and the investor's loss bearing.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.28.5 OtherTargetMarketInvestorKnowledge1

Definition: Investor knowledge and experience target market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorKnowledgeType <InvstrKnwldgTp>	[0..1]	Text		2355
	Target <Trgt>	[0..1]			2355
{Or	Code <Cd>	[1..1]	CodeSet		2356
Or}	Proprietary <Prtry>	[1..1]	±		2356
	AdditionalInformation <AddtlInf>	[0..1]	±		2356

76.1.28.5.1 InvestorKnowledgeType <InvstrKnwldgTp>

Presence: [0..1]

Definition: Type of investor knowledge and experience.

Datatype: [Max35Text](#) on page 3409

76.1.28.5.2 Target <Trgt>

Presence: [0..1]

Definition: Choice of formats for the specification of whether the product is aimed at the type of knowledge or experience of the investor.

Target <Trgt> contains one of the following **TargetMarket1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2356
Or}	Proprietary <Prtry>	[1..1]	±		2356

76.1.28.5.2.1 Code <Cd>

Presence: [1..1]

Definition: Specifies whether the product is aimed at the target expressed as a code.

Datatype: [TargetMarket1Code](#) on page 3359

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

76.1.28.5.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Specifies whether the product is aimed at the target expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchemeNm>	[0..1]	Text		2015

76.1.28.5.3 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the target market and the investor knowledge and experience.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.28.6 OtherTargetMarketInvestor1

Definition: Investor type target market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorType <InvstrTp>	[0..1]	Text		2357
	Target <Trgt>	[0..1]			2357
{Or	Type <Tp>	[1..1]	CodeSet		2357
Or	Other <Othr>	[1..1]	CodeSet		2357
Or}	Proprietary <Prtry>	[1..1]	±		2358
	AdditionalInformation <AddtlInf>	[0..1]	±		2358

76.1.28.6.1 InvestorType <InvstrTp>

Presence: [0..1]

Definition: Type of investor.

Datatype: Max35Text on page 3409

76.1.28.6.2 Target <Trgt>

Presence: [0..1]

Definition: Choice of formats for the specification of whether the product is aimed at the type of investor.

Target <Trgt> contains one of the following **TargetMarket3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2357
Or	Other <Othr>	[1..1]	CodeSet		2357
Or}	Proprietary <Prtry>	[1..1]	±		2358

76.1.28.6.2.1 Type <Tp>

Presence: [1..1]

Definition: Specifies how a financial product is in scope of the target market parameter.

Datatype: InvestorType2Code on page 3312

CodeName	Name	Definition
BOT3	BothProfessionalPerSeAndElectiveProfessional	Investor is both professional per se and elective professional.
EPRO	ElectiveProfessional	Investor is an elective professional.
PRF2	ProfessionalOrPerSe	Investor is professional or professional per se.

76.1.28.6.2.2 Other <Othr>

Presence: [1..1]

Definition: Specifies whether a financial product is in scope of the target market parameter.

Datatype: TargetMarket1Code on page 3359

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

76.1.28.6.2.3 Proprietary <Prtry>

Presence: [1..1]

Definition: Specifies whether the product is aimed at the target expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.28.6.3 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the target market and the investor type.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.29 Miscellaneous

76.1.29.1 CopyInformation2

Definition: Information provided when the message is a copy of a previous message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2358
	OriginalReceiver <OrgnlRcvr>	[0..1]	±		2359

76.1.29.1.1 CopyIndicator <CpyInd>

Presence: [1..1]

Definition: Indicates whether the message is a copy.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.1.2 OriginalReceiver <OrgnlRcvr>

Presence: [0..1]

Definition: Original receiver of the message, if this message is a copy.

OriginalReceiver <OrgnlRcvr> contains the following elements (see [BICIdentification1](#) on page 1843 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BIC <BIC>	[1..1]	IdentifierSet	C4	1843

76.1.29.2 Statement59

Definition: General characteristics related to a statement which reports information for a precise date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SenderBusinessRole <SndrBizRole>	[1..1]	CodeSet		2359
	StatementNumber <StmntNb>	[0..1]	±		2360
	QueryReference <QryRef>	[0..1]	Text		2360
	StatementIdentification <StmntId>	[1..1]	Text		2360
	StatementDateTime <StmntDtTm>	[1..1]	±		2360
	StatementPeriod <StmntPrd>	[1..1]	±		2360
	Frequency <Frqcy>	[0..1]	±		2361
	FrequencyGranularity <FrqcyGrnlrty>	[0..1]	CodeSet		2361
	UpdateType <UpdTp>	[0..1]	±		2361
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		2362

Constraints

- **FrequencyGranularityGuideline**

(Guideline)

FrequencyGranularity should be within the limits of the Frequency, such as Frequency equals Monthly and FrequencyGranularity equals Daily.

76.1.29.2.1 SenderBusinessRole <SndrBizRole>

Presence: [1..1]

Definition: Specifies the business role of the message sender and, therefore, the business relationship between the sender and the receiver (or the interests represented by them, in those cases where another entity is acting on behalf of the sender or receiver). The message is exchanged between two entities, one being the account servicer and the other the account owner, and the message can be used with either one as the sender.

Datatype: [SenderBusinessRole1Code on page 3354](#)

CodeName	Name	Definition
AOWN	AccountOwner	Sender is the owner of the safekeeping account. The sender is disclosing the breakdown of the underlying owners of sender's holdings with the receiver.
ASER	AccountServicer	Sender is the account servicer of an account owned by the receiver.

76.1.29.2.2 StatementNumber <StmntNb>

Presence: [0..1]

Definition: Sequential number of the report.

StatementNumber <StmntNb> contains one of the following elements (see [Number3Choice on page 2472](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Short <Shrt>	[1..1]	Text		2472
Or}	Long <Lng>	[1..1]	Text		2472

76.1.29.2.3 QueryReference <QryRef>

Presence: [0..1]

Definition: Identification of the query message sent to request this statement.

Datatype: [Max35Text on page 3409](#)

76.1.29.2.4 StatementIdentification <StmntId>

Presence: [1..1]

Definition: Reference common to all pages of the statement.

Datatype: [Max35Text on page 3409](#)

76.1.29.2.5 StatementDateTime <StmntDtTm>

Presence: [1..1]

Definition: Date and time when the statement was created.

StatementDateTime <StmntDtTm> contains one of the following elements (see [DateAndDateTimeChoice on page 1828](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.29.2.6 StatementPeriod <StmntPrd>

Presence: [1..1]

Definition: Date period for which the statement was created.

StatementPeriod <StmtPrd> contains one of the following elements (see [DatePeriod1Choice](#) on page 1824 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1824
Or	DateMonth <DtMnth>	[1..1]	YearMonth		1825
Or}	FromDateToDate <FrDtToDt>	[1..1]	±		1825

76.1.29.2.7 Frequency <Frqcy>

Presence: [0..1]

Definition: Frequency of the statement.

Frequency <Frqcy> contains one of the following elements (see [Frequency22Choice](#) on page 1996 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1996
Or}	Proprietary <Prtry>	[1..1]	±		1997

76.1.29.2.8 FrequencyGranularity <FrqcyGrnlrty>

Presence: [0..1]

Definition: Granularity of the frequency used for the reporting.

Datatype: [FrequencyGranularityType1Code](#) on page 3282

CodeName	Name	Definition
EMON	EndOfMonth	Event takes place at the end of each month or period of one month.
EWEK	EndOfWeek	Event takes place at the end of each week.
ESEM	EndOfSemester	Event takes place at the end of each six months (or two times a year).
EQRT	EndOfQuarter	Event takes place at the end of each period of three months (or four times a year).
EFRT	EndOfFortnight	Event takes place at the end of each two weeks.
EDAY	EndOfDay	Event takes place at the end of each day.
ENDY	EndOfYear	Event takes place at the end of each year.

76.1.29.2.9 UpdateType <UpdTp>

Presence: [0..1]

Definition: Specifies whether the statement is complete or contains changes only.

UpdateType <UpdTp> contains one of the following elements (see [UpdateType4Choice](#) on page 2470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2470
Or}	Proprietary <Prtry>	[1..1]	±		2471

76.1.29.2.10 ActivityIndicator <ActvtyInd>

Presence: [1..1]

Definition: Indicates whether there is activity or updated information reported in the statement.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.3 InvestorProfile2

Definition: Information about actions that may be taken on an account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			2363
{Or	Code <Cd>	[1..1]	CodeSet		2364
Or}	Proprietary <Prtry>	[1..1]	±		2364
	Status <Sts>	[0..1]			2365
{Or	Code <Cd>	[1..1]	CodeSet		2365
Or}	Proprietary <Prtry>	[1..1]	±		2365
	Treasury <Trsr>	[0..1]			2366
	Date <Dt>	[1..1]	Date		2366
	TraderType <TradrTp>	[1..1]			2366
{Or	Code <Cd>	[1..1]	CodeSet		2366
Or}	Proprietary <Prtry>	[1..1]	±		2367
	Rate <Rate>	[1..1]	Rate		2367
	HighFrequencyTrading <HghFrqcyTradg>	[0..1]			2367
	Date <Dt>	[0..1]	Date		2367
	SettlementFrequency <SttlmFrqcy>	[0..1]			2368
{Or	Code <Cd>	[1..1]	CodeSet		2368
Or}	Proprietary <Prtry>	[1..1]	±		2368
	ConsolidationType <CnsltdnTp>	[0..1]			2368
{Or	Code <Cd>	[1..1]	CodeSet		2369
Or}	Proprietary <Prtry>	[1..1]	±		2369
	MarketMaker <MktMakr>	[0..1]			2369
	ContractPeriod <CtrctPrd>	[0..1]			2369
	FromDateTime <FrDtTm>	[1..1]	DateTime		2370
	ToDateTime <ToDtTm>	[0..1]	DateTime		2370
	Compliance <Cmplc>	[0..1]	Indicator		2370
	MaximumSpread <MaxSprd>	[0..1]	Rate		2370
	Discount <Dscnt>	[0..1]	Rate		2370

76.1.29.3.1 Type <Tp>

Presence: [0..1]

Definition: Type of profile.

Type <Tp> contains one of the following **ProfileType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2364
Or}	Proprietary <Prtry>	[1..1]	±		2364

76.1.29.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of profile expressed as a code.

Datatype: [ProfileType1Code](#) on page 3332

CodeName	Name	Definition
HEDG	Hedge	Investor shares that uses defensive operations (hedging), thus avoiding the risk of large swings.
HFTR	HighFrequencyTrader	Investors operating through algorithms and send orders automatically according to the strategies defined by their managers. Through this access model, the participants of these servers are hosted primarily within the premises of Brazilian Market and significantly reduce the time of submission of offers to trading systems.
MAKE	MarketMaker	Agent liquidity, liquidity facilitator, promoter of business, specialist, market maker and liquidity provider are some designations given to those who propose to provide liquidity and minimum reference price for assets previously accredited, factors highlighted in the analysis of efficiency in capital markets.
TREA	Treasury	Trading system of federal securities in the retail market directly to the investor. The operation can be performed directly over the Internet.

76.1.29.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of profile expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.3.2 Status <Sts>

Presence: [0..1]

Definition: Status of the profile.

Status <Sts> contains one of the following **InvestorProfileStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2365
Or}	Proprietary <Prtry>	[1..1]	±		2365

76.1.29.3.2.1 Code <Cd>

Presence: [1..1]

Definition: Investor profile status expressed as a code.

Datatype: [InvestorProfileStatus1Code](#) on page 3311

CodeName	Name	Definition
DISA	Disabled	Status of the investor profile is disabled.
DISG	Disabling	Status of the investor profile is in the process of being disabled.
ENAB	Enabled	Status of the investor profile is enabled.
ENBG	Enabling	Status of the investor profile is in the process of being enabled.
ADMI	InAdmission	Status of the investor profile is in admission.
ANLY	InAnalysis	Status of the investor profile is in analysis.
NAPP	NotApproved	Status of the investor profile is not approved.
PSUS	PartiallySuspended	Status of the investor profile is partially suspended.
PEND	PendingApproval	Status of the investor profile is pending approval.
SUPS	Suspended	Status of the investor profile is suspended.

76.1.29.3.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Investor profile status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.3.3 Treasury <Trsr>

Presence: [0..1]

Definition: Information about the profile for treasury trading.

Treasury <Trsr> contains the following **TreasuryProfile1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		2366
	TraderType <TradrTp>	[1..1]			2366
{Or	Code <Cd>	[1..1]	CodeSet		2366
Or}	Proprietary <Prtry>	[1..1]	±		2367
	Rate <Rate>	[1..1]	Rate		2367

76.1.29.3.3.1 Date <Dt>

Presence: [1..1]

Definition: Execution date of treasury bond trade.

Datatype: [ISODate](#) on page 3391

76.1.29.3.3.2 TraderType <TradrTp>

Presence: [1..1]

Definition: Type of party that performs trading operations, for example, investor or custodian.

TraderType <TradrTp> contains one of the following **PartyRole5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2366
Or}	Proprietary <Prtry>	[1..1]	±		2367

76.1.29.3.3.2.1 Code <Cd>

Presence: [1..1]

Definition: Role expressed as a code.

Datatype: [PartyRole1Code](#) on page 3321

CodeName	Name	Definition
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.

76.1.29.3.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Role expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.3.3.3 Rate <Rate>

Presence: [1..1]

Definition: Tax rate.

Datatype: [PercentageRate](#) on page 3406

76.1.29.3.4 HighFrequencyTrading <HghFrqcyTradg>

Presence: [0..1]

Definition: Information about the profile for high frequency trading.

HighFrequencyTrading <HghFrqcyTradg> contains the following **HighFrequencyTradingProfile1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		2367
	SettlementFrequency <SttlmFrqcy>	[0..1]			2368
{Or	Code <Cd>	[1..1]	CodeSet		2368
Or}	Proprietary <Prtry>	[1..1]	±		2368
	ConsolidationType <CnsltdnTp>	[0..1]			2368
{Or	Code <Cd>	[1..1]	CodeSet		2369
Or}	Proprietary <Prtry>	[1..1]	±		2369

76.1.29.3.4.1 Date <Dt>

Presence: [0..1]

Definition: Date on which the investor starts high frequency trading.

Datatype: [ISODate on page 3391](#)

76.1.29.3.4.2 SettlementFrequency <SttlmFrqcy>

Presence: [0..1]

Definition: Frequency of settlement.

SettlementFrequency <SttlmFrqcy> contains one of the following **SettlementFrequency1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2368
Or}	Proprietary <Prtry>	[1..1]	±		2368

76.1.29.3.4.2.1 Code <Cd>

Presence: [1..1]

Definition: Settlement frequency expressed as a code.

Datatype: [EventFrequency10Code on page 3276](#)

CodeName	Name	Definition
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.

76.1.29.3.4.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Settlement frequency expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.3.4.3 ConsolidationType <CnsltdnTp>

Presence: [0..1]

Definition: Specifies whether consolidation is done generally or at the level of segregated account.

ConsolidationType <CnsltdnTp> contains one of the following **ConsolidationType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2369
Or}	Proprietary <Prtry>	[1..1]	±		2369

76.1.29.3.4.3.1 Code <Cd>

Presence: [1..1]

Definition: Consolidation type expressed as a code.

Datatype: [ConsolidationType1Code](#) on page 3264

CodeName	Name	Definition
GENL	General	Consolidation is general.
PART	Participation	Consolidation is at the level of the participant.

76.1.29.3.4.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Consolidation type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.3.5 MarketMaker <MktMakr>

Presence: [0..1]

Definition: Information about the profile for a market marker.

MarketMaker <MktMakr> contains the following **MarketMakerProfile2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ContractPeriod <CtrctPrd>	[0..1]			2369
	FromDateTime <FrDtTm>	[1..1]	DateTime		2370
	ToDateTime <ToDtTm>	[0..1]	DateTime		2370
	Compliance <Cmplc>	[0..1]	Indicator		2370
	MaximumSpread <MaxSprd>	[0..1]	Rate		2370
	Discount <Dscnt>	[0..1]	Rate		2370

76.1.29.3.5.1 ContractPeriod <CtrctPrd>

Presence: [0..1]

Definition: Period of the contract.

ContractPeriod <CtrctPrd> contains the following **DateTimePeriod2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		2370
	ToDateTime <ToDtTm>	[0..1]	DateTime		2370

76.1.29.3.5.1.1 FromDateTime <FrDtTm>

Presence: [1..1]

Definition: Date and time at which the range starts.

Datatype: [ISODateTime on page 3391](#)

76.1.29.3.5.1.2 ToDateTime <ToDtTm>

Presence: [0..1]

Definition: Date and time at which the range ends.

Datatype: [ISODateTime on page 3391](#)

76.1.29.3.5.2 Compliance <Cmplc>

Presence: [0..1]

Definition: Indicates whether the market maker is obligated to comply with the requirements of the contract it holds with the exchange or is exempt from these obligations.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.3.5.3 MaximumSpread <MaxSprd>

Presence: [0..1]

Definition: Percentage of the variation between the maximum accepted minimum and maximum value of an action.

Datatype: [PercentageRate on page 3406](#)

76.1.29.3.5.4 Discount <Dscnt>

Presence: [0..1]

Definition: Rate of discount.

Datatype: [PercentageRate on page 3406](#)

76.1.29.4 ResidualCash2

Definition: Specifies how the cash in the account that is awaiting investment is to be dealt with.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		2371
	Currency <Ccy>	[0..1]	CodeSet	C2	2371

76.1.29.4.1 Indicator <Ind>

Presence: [1..1]

Definition: Indicates whether the cash in the account awaiting investment is to be transferred.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.4.2 Currency <Ccy>

Presence: [0..1]

Definition: Currency of the cash.

Impacted by: C2 ActiveCurrency

Datatype: [ActiveCurrencyCode](#) on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.29.5 ResidualCash1

Definition: Specifies whether there is cash in the account awaiting investment.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ResidualCashIndicator <RsdICshInd>	[1..1]	Indicator		2371
	Currency <Ccy>	[0..1]	CodeSet	C2	2372

76.1.29.5.1 ResidualCashIndicator <RsdICshInd>

Presence: [1..1]

Definition: Indicates whether there is cash in the account awaiting investment.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.5.2 Currency <Ccy>

Presence: [0..1]

Definition: Currency of the cash.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.29.6 CashAll1

Definition: Specifies whether all assets in the portfolio should be liquidated and transferred as cash.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		2372
	Currency <Ccy>	[0..1]	CodeSet	C2	2372

76.1.29.6.1 Indicator <Ind>

Presence: [1..1]

Definition: Indicates whether all assets in the portfolio are to be liquidated and transferred as cash.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.6.2 Currency <Ccy>

Presence: [0..1]

Definition: Currency of the cash.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.29.7 AllOtherCash1

Definition: Specifies whether all remaining assets in a portfolio not listed for transfer should be liquidated and transferred as cash

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		2373
	Currency <Ccy>	[0..1]	CodeSet	C2	2373

76.1.29.7.1 Indicator <Ind>

Presence: [1..1]

Definition: Indicates whether all remaining assets in a portfolio not listed for transfer should be liquidated and transferred as cash.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.7.2 Currency <Ccy>

Presence: [0..1]

Definition: Currency of the cash.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.29.8 CopyInformation5

Definition: Information provided when the message is a copy of a previous message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2374
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	2374

76.1.29.8.1 CopyIndicator <CpyInd>

Presence: [1..1]

Definition: Indicates whether the message is a copy.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.8.2 OriginalReceiver <OrgnlRcvr>

Presence: [0..1]

Definition: Original receiver of the message, if this message is a copy.

Impacted by: C1 AnyBIC

Datatype: [AnyBICDec2014Identifier](#) on page 3392

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.29.9 Notification2

Definition: Information about the type of notification required.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NotificationType <NtfctnTp>	[1..1]	Text		2375
	Required <Reqr>	[1..1]	Indicator		2375
	DistributionType <DstrbtnTp>	[0..1]	±		2375

76.1.29.9.1 NotificationType <NtfctnTp>

Presence: [1..1]

Definition: Type of notification.

Datatype: [Max35Text on page 3409](#)

76.1.29.9.2 Required <Reqr>

Presence: [1..1]

Definition: Indicates whether the notification is required.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.9.3 DistributionType <DstrbtnTp>

Presence: [0..1]

Definition: Specifies how the notification is sent.

DistributionType <DstrbtnTp> contains one of the following elements (see [InformationDistribution1Choice on page 2590](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2590
Or}	Proprietary <Prtry>	[1..1]	±		2590

76.1.29.10 ModificationScope45

Definition: Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		2375
	AdditionalInformation <AddtlInf>	[1..*]	±		2376

76.1.29.10.1 ModificationScopeIndication <ModScplndctn>

Presence: [1..1]

Definition: Type of modification to be applied.

Datatype: [DataModification1Code on page 3270](#)

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.1.29.10.2 AdditionalInformation <AddtlInf>

Presence: [1..*]

Definition: Additional information such as remarks or notes that must be conveyed about the party and or limitations and restrictions.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation13](#) on page 2376 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		2377
	AdditionalInformation <AddtlInf>	[0..1]	Text		2377
	AccountValidation <AcctVldtn>	[0..1]	Text		2377
	Type <Tp>	[0..1]	Text		2377
	Regulator <Rgltr>	[0..1]	±		2377
	Status <Sts>	[0..1]			2378
{Or	Code <Cd>	[1..1]	CodeSet		2378
Or}	Proprietary <Prtry>	[1..1]	±		2378
	Period <Prd>	[0..1]			2378
	FromDateTime <FrDtTm>	[1..1]	DateTime		2379
	ToDateTime <ToDtTm>	[0..1]	DateTime		2379

76.1.29.11 AdditiononallInformation13

Definition: Restrictions, remarks or notes that may be applied to an account or investment plan.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		2377
	AdditionalInformation <AddtlInf>	[0..1]	Text		2377
	AccountValidation <AcctVldtn>	[0..1]	Text		2377
	Type <Tp>	[0..1]	Text		2377
	Regulator <Rgltr>	[0..1]	±		2377
	Status <Sts>	[0..1]			2378
{Or	Code <Cd>	[1..1]	CodeSet		2378
Or}	Proprietary <Prtry>	[1..1]	±		2378
	Period <Prd>	[0..1]			2378
	FromDateTime <FrDtTm>	[1..1]	DateTime		2379
	ToDateTime <ToDtTm>	[0..1]	DateTime		2379

76.1.29.11.1 Limitation <Lmttn>

Presence: [0..1]

Definition: Restrictions and/or limitations on the account or party.

Datatype: Max350Text on page 3409

76.1.29.11.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information such as remarks or notes that must be conveyed about the account management activity or party.

Datatype: Max350Text on page 3409

76.1.29.11.3 AccountValidation <AcctVldtn>

Presence: [0..1]

Definition: Information or instructions for the by-passing of validations in the account registration process.

Datatype: Max350Text on page 3409

76.1.29.11.4 Type <Tp>

Presence: [0..1]

Definition: Type or identification of the remark, note, limitation or restriction.

Datatype: Max35Text on page 3409

76.1.29.11.5 Regulator <Rgltr>

Presence: [0..1]

Definition: Regulator that may have to be informed about the remark, note, limitation or restriction.

Regulator <Rgltr> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.29.11.6 Status <Sts>

Presence: [0..1]

Definition: Status of the remark, note, limitation or restriction.

Status <Sts> contains one of the following **RestrictionStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2378
Or}	Proprietary <Prtry>	[1..1]	±		2378

76.1.29.11.6.1 Code <Cd>

Presence: [1..1]

Definition: Status of the restriction expressed as a code.

Datatype: [RestrictionStatus1Code](#) on page 3346

CodeName	Name	Definition
ACTV	Active	Status of the restriction is active.
INAC	Inactive	Status of the restriction is inactive.

76.1.29.11.6.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Status of the restriction expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.11.7 Period <Prd>

Presence: [0..1]

Definition: Period of the restriction.

Period <Prd> contains the following **DateTimePeriod2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		2379
	ToDateTime <ToDtTm>	[0..1]	DateTime		2379

76.1.29.11.7.1 FromDateTime <FrDtTm>

Presence: [1..1]

Definition: Date and time at which the range starts.

Datatype: [ISODatetime on page 3391](#)

76.1.29.11.7.2 ToDateTime <ToDtTm>

Presence: [0..1]

Definition: Date and time at which the range ends.

Datatype: [ISODatetime on page 3391](#)

76.1.29.12 SecurityClassificationType2Choice

Definition: Choice between a CFI code and an other type of identification for the classification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CFI <CFI>	[1..1]	IdentifierSet		2379
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		2379

76.1.29.12.1 CFI <CFI>

Presence: [1..1]

Definition: Classification type of the financial instrument, as per the ISO 10962 Classification of Financial Instrument (CFI) codification.

Datatype: [CFIOct2015Identifier on page 3395](#)

76.1.29.12.2 AlternateClassification <AltrnClssfctn>

Presence: [1..1]

Definition: Other type of classification of the financial instrument.

AlternateClassification <AltrnClssfctn> contains the following elements (see [GenericIdentification3 on page 2019](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2019
	Issuer <Issr>	[0..1]	Text		2019

76.1.29.13 PreviousYear2Choice

Definition: Choice between selected investment plans issued during previous years or all investment plans.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		2380
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		2380

Constraints

- **SpecificPreviousYearsGuideline**

(Rule)

SpecificPreviousYears must not contain the current year.

76.1.29.13.1 AllPreviousYears <AllPrvsYrs>

Presence: [1..1]

Definition: Selection of all investment plans.

Datatype: [PreviousAll](#) on page 3410

76.1.29.13.2 SpecificPreviousYears <SpfcPrvsYrs>

Presence: [1..*]

Definition: Selection of investment plans issued during previous years.

Datatype: [ISOYear](#) on page 3411

76.1.29.14 LinkedMessage1Choice

Definition: Reference to a message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..1]	±		2380
Or	OtherReference <OthrRef>	[1..1]	±		2381
Or}	RelatedReference <RltdRef>	[1..1]	±		2381

76.1.29.14.1 PreviousReference <PrvsRef>

Presence: [1..1]

Definition: Linked previous reference.

PreviousReference <PrvsRef> contains the following elements (see [AdditionalReference3 on page 2022](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

76.1.29.14.2 OtherReference <OthrRef>

Presence: [1..1]

Definition: Linked other reference.

OtherReference <OthrRef> contains the following elements (see [AdditionalReference3 on page 2022](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

76.1.29.14.3 RelatedReference <RltdRef>

Presence: [1..1]

Definition: Linked related reference.

RelatedReference <RltdRef> contains the following elements (see [AdditionalReference3 on page 2022](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2022
	Referencelssuer <RefIssr>	[0..1]	±		2022
	MessageName <MsgNm>	[0..1]	Text		2023

76.1.29.15 CurrencyDesignation1

Definition: Information about the designation of a currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		2382
	Location <Lctn>	[0..1]	CodeSet	C11	2382
	AdditionalInformation <AddtlInf>	[0..1]	Text		2382

76.1.29.15.1 CurrencyDesignation <CcyDsgnt>

Presence: [0..1]

Definition: Specifies whether the currency is settled offshore or onshore.

Datatype: [CurrencyDesignation1Code on page 3270](#)

CodeName	Name	Definition
ONSH	Onshore	Onshore.
OFFS	Offshore	Offshore.

76.1.29.15.2 Location <Lctn>

Presence: [0..1]

Definition: Offshore location of the currency.

Impacted by: [C11 Country](#)

Datatype: [CountryCode on page 3267](#)

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.29.15.3 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the off-shore currency.

Datatype: [Max350Text on page 3409](#)

76.1.29.16 PerformanceFactors1

Definition: Performance factors of the investment fund / fund class.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionFactor <CorpActnFctr>	[0..1]	Quantity		2383
	CumulativeCorporateActionFactor <CmltvCorpActnFctr>	[0..1]	Quantity		2383
	AccumulationPeriod <AcmltnPrd>	[0..1]	±		2383
	NormalPerformance <Nrm1Prfrmnc>	[0..1]	Quantity		2383

Constraints

- **AccumulationPeriodRule**

(Rule)

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

76.1.29.16.1 CorporateActionFactor <CorpActnFctr>

Presence: [0..1]

Definition: Value of the NAV before all corporate events of the valuation date, divided by the value of the NAV after the corporate event.

Datatype: [DecimalNumber on page 3405](#)

76.1.29.16.2 CumulativeCorporateActionFactor <CmltvCorpActnFctr>

Presence: [0..1]

Definition: Value of the NAV before a corporate event, divided by the value of the NAV after the corporate event, accumulated for a number of corporate events over the defined period of time.

Datatype: [DecimalNumber on page 3405](#)

76.1.29.16.3 AccumulationPeriod <AcmltnPrd>

Presence: [0..1]

Definition: Period of time for the calculation of the cumulative corporate action factor.

AccumulationPeriod <AcmltnPrd> contains the following elements (see [DatePeriodDetails on page 1823](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1823
	ToDate <ToDt>	[1..1]	Date		1823

76.1.29.16.4 NormalPerformance <NrmIPrfmnc>

Presence: [0..1]

Definition: Normal performance value of the NAV.

Datatype: [DecimalNumber on page 3405](#)

76.1.29.17 ModificationScope21

Definition: Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2383
	IssueAllocation <IssAllcn>	[1..1]	±		2384

76.1.29.17.1 ModificationScopeIndication <ModScplIndctn>

Presence: [1..1]

Definition: Specifies the type of modification to be applied on a set of information.

Datatype: [DataModification1Code](#) on page 3270

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.1.29.17.2 IssueAllocation <IsseAllcn>

Presence: [1..1]

Definition: Information about the investment account ownership with respect to new issue allocation for a hedge fund.

IssueAllocation <IsseAllcn> contains the following elements (see [NewIssueAllocation2](#) on page 2393 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Restricted <Rstrctd>	[1..1]	Indicator		2393
	ExemptPersonReason <XmptPrsnRsn>	[0..1]	Text		2393
	DeMinimus <DeMnms>	[0..1]	±		2393

76.1.29.18 CancellationReason32Choice

Definition: Choice of format for the cancellation reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		2384
Or}	Proprietary <Prtry>	[1..1]	±		2384

76.1.29.18.1 Code <Cd>

Presence: [1..1]

Definition: Cancellation reason expressed as a code.

Datatype: [Max35Text](#) on page 3409

76.1.29.18.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Cancellation reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 2012 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.29.19 SignatureType1Choice

Definition: Choice of formats for the signature type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2385
Or}	Proprietary <Prtry>	[1..1]	±		2385

76.1.29.19.1 Code <Cd>

Presence: [1..1]

Definition: Signature type expressed as a code.

Datatype: [SignatureType2Code](#) on page 3356

CodeName	Name	Definition
DIGI	Digital	Technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	Copy of a physical or original signature in an electronic format.
NONE	None	No signature.
ORIG	Original	Written signature. May also be known as a physical or wet signature.

76.1.29.19.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Signature type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.20 CancellationRight1Choice

Definition: Choice of formats for the cancellation right.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2386
Or}	Proprietary <Prtry>	[1..1]	±		2386

76.1.29.20.1 Code <Cd>

Presence: [1..1]

Definition: Cancellation right expressed as a code.

Datatype: [CancellationRight1Code on page 3251](#)

CodeName	Name	Definition
VALI	Entitled	Investor is entitled to a "cooling off" period with cancellation rights under compliance rules.
NOXO	ExecutionOnly	Investor is not entitled to cancellation rights under compliance rules, as the investor is an execution's only client.
NOWA	WaiverAgreement	Investor is not entitled to cancellation rights under compliance rules as the investor has agreed to waive those rights.
NOIN	Institutional	Investor is not entitled to cancellation rights under compliance rules as the investor is a financial institution.

76.1.29.20.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Cancellation right expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.21 BeneficiaryCertificationType9Choice

Definition: Choice between a standard code or proprietary code to specify the type of beneficiary certification required.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2387
Or}	Proprietary <Prtry>	[1..1]	±		2387

76.1.29.21.1 Code <Cd>

Presence: [1..1]

Definition: Beneficial owner certification type expressed in a coded form.

Datatype: [BeneficiaryCertificationType4Code on page 3248](#)

CodeName	Name	Definition
ACCI	AccreditedInvestor	The holder of the security has to irrevocably certify that it is an Accredited Investor as defined in US Securities and Exchange Commission Regulation D.
DOMI	DomicileCountry	The holder of the security has to certify his domicile.
NDOM	NonDomicileCountry	The holder of the security has to certify, in line with the terms of the corporate action, that it is not domiciled in the country indicated.
FULL	FullBeneficialOwnerBreakdown	The holder of the security has to provide his beneficial owner details for disclosure/instruction purpose.
NCOM	NonCompany	The holder of the security has to certify he is a Non-Company related person.
QIBB	QIBCertification	The holder of the security has to irrevocably certify that it is a Qualified Institutional Buyer as defined in US Securities and Exchange Commission Rule 144A.
TRBD	TaxRateBreakdown	The holder of the security has to provide basic details on nominals and associated tax rate to be used by the account servicer.
PAPW	BeneficialOwnerPaperwork	Indicates if the Beneficial Owner is responsible to fill in the paperwork.
PABD	ICSDParticipantBreakdown	The (I)CSD has to provide its participants' details for disclosure purpose to the issuer/issuer's agent.
FRAC	FractionBreakdown	Indicates that the rounding rule in the Fraction Disposition component at the option level can be offered at the beneficial owner level.

76.1.29.21.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Beneficial owner certification type expressed in a proprietary form.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 2012 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.29.22 ClassificationType32Choice

Definition: Choice of format for the classification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		2388
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		2388

76.1.29.22.1 ClassificationFinancialInstrument <ClssfctnFinInstrm>

Presence: [1..1]

Definition: ISO 10962 Classification of Financial Instrument (CFI).

Datatype: [CFIOct2015Identifier](#) on page 3395

76.1.29.22.2 AlternateClassification <AltrnClssfctn>

Presence: [1..1]

Definition: Proprietary classification of financial instrument.

AlternateClassification <AltrnClssfctn> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.29.23 ReportItemRejectionReason1Choice

Definition: Provides the report item rejection reason in a coded or proprietary form.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2388
Or}	Proprietary <Prtry>	[1..1]	±		2392

76.1.29.23.1 Code <Cd>

Presence: [1..1]

Definition: Status reason expressed as a code.

Datatype: HoldingRejectionReason41Code on page 3290

CodeName	Name	Definition
INPR	InvalidPrice	Price does not comply with the financial instrument's characteristics.
INID	InvalidIdentification	Instruction contains an invalid message identification, identification is unknown.
AGIN	InvalidAgent	Invalid agent identification supplied.
INTE	Intermediary	Intermediary is not recognised or is invalid.
CERT	IncorrectCertification	Instruction is rejected since the provided certification is incorrect or incomplete.
BPAR	BusinessPartnerNumberRejection	Unrecognised or invalid business partner number.
BREF	BankReferenceNumberRejection	Unrecognised or invalid bank reference number.
DADR	AddressDetailsRejection	Address details are incorrect or cannot be recognised.
DCUS	DeliveringCustodian	Unrecognised or invalid delivering custodian.
IACT	IncorrectActivityType	Incorrect activity type specified, for example, pre-release conversion.
INVA	InvalidForTaxAuthorities	For tax reclaim, the reclaim is invalid for the tax authorities.
INDT	InvalidDetails	Message details specified in the instruction/request are inconsistent with those that were specified in the relating original message.
OPTI	InvalidOption	Invalid combination of corporate action option code and corporate action option number.
OPTY	InvalidOptionType	Invalid option type.
INMO	InvalidMovementInformation	Details specified in the movement general information block are inconsistent with those that were specified in the relating original message.
INVM	InvalidModificationRequest	Invalid or unrecognized modification request.
INUS	InvalidUnderlyingSecurity	Underlying security identification does not correspond with the corporate action reference supplied.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
ENDP	MissingPeriodEndDate	Period ending date or code is missing.
STAR	MissingPeriodStartDate	Period starting date or code is missing.
SECO	MissingOption	Second option is mandatory.

CodeName	Name	Definition
NOHO	NoHolding	No holding for the specified underlying security.
NINS	NoInstrumentMarket	Referred instrument does not exist in combination with the mentioned market.
NOAP	NotApplicable	Instruction type is not applicable for mandatory events.
NAUT	NotAuthorised	Permission to be processed is not granted.
AGID	NotDefinedAgent	Party is not defined as an agent.
DISP	NotEligibleDisperseSecurity	Disperse security is not eligible in the (ICSD) service provider owner.
CORR	NotIdentifiedCorrespondentBank	Unable to identify correspondent bank.
INPS	PlaceOfSafekeeping	Unrecognised, invalid or missing place of safekeeping.
PLCE	PlaceOfTrade	Unrecognised or invalid place of trade.
PRIC	PriceExceeds	Price in the execution exceeds the order price.
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
QUNP	QuantityUnitType	Quantity unit type is not provided.
DQUA	QuantityRejection	Unrecognised or invalid instructed quantity.
EQTY	QuantityExceeds	Quantity in the execution exceeds the ordered quantity.
DEPT	ReceivingDeliveringDepository	Unrecognised or invalid depository.
RCUS	ReceivingCustodian	Unrecognised or invalid receiving agent.
SAFE	SafekeepingAccountRejection	Unrecognised or invalid message sender's safekeeping account.
DMON	SettlementAmountRejection	Unrecognised or invalid settlement amount.
NCRR	SettlementAmountCurrencyRejection	Unrecognised or invalid settlement amount currency.
TQNP	TradedSecuritiesQuantity	Traded securities quantity not provided.
SETR	SettlementTransactionRejection	Unrecognised or invalid settlement transaction type.
UKWN	UnknownSymbol	Financial instrument's symbol has not been recognized.
DDEA	DealPrice	Unrecognised or invalid deal price.
TERM	ClosingDateTimeRejection	Unrecognised or invalid closing date/time.
ULNK	InvalidReference	Linked reference is unknown.
NARR	NarrativeReason	See narrative field for reason.
NRGN	NotFoundRejection	Instruction could not be found.

CodeName	Name	Definition
INVB	InvalidBalance	Instruction aims at using an invalid balance.
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
CASH	CashAccount	Unrecognised or invalid cash account.
COMC	CommercializationContractRejection	Unrecognised or invalid commercialisation contract.
CONL	ConcentrationLimitExceeded	Concentration limit was exceeded.
INHO	InsufficientBalance	Insufficient balance.
ICOL	InsufficientCollateral	Insufficient collateral proposed.
INVE	InvalidInvestorParty	Unrecognised or invalid investor party. May be used by an executing party to reject an instruction for an investor (or portfolio) for which it is not authorised to act.
INVN	InvalidLotNumber	Invalid or unrecognized lot number.
INVL	InvalidLink	Invalid or unrecognized link.
VALR	InvalidRule	Account servicer validation rule rejection.
INUK	InvestorNameAddressUnknown	Investor name and address is not recognised.
LATT	Late	Instruction/Request arrives too late.
MINO	MinimumSettlementQuantity	Quantity instructed is lower than the minimum existing settlement quantity for the financial instrument.
BOIS	MissingBeneficiaryOwnerDetails	Rejected due to missing beneficiary owner details.
MCER	MissingCertification	Certification has not been filled in.
IPOA	MissingOrInvalidPOA	Missing or invalid power of attorney.
MUNO	MultipleSettlementQuantity	Quantity instructed is not a multiple of an existing settlement quantity lot for the financial instrument.
INNA	NarrativeInformationRejection	Unrecognised or invalid service level agreement pre-agreed narrative information.
NINV	NoInventory	Requested financial instrument is not available.
ELIG	NonEligibleSecurity	Security is not eligible.
PERI	PeriodEndDateBeforeStartDate	Period ending date is before period starting date.
REFE	ReferenceRejection	Instruction has a reference identical to another previously received instruction.
SAID	SameIdentification	Several messages with the same identification.

CodeName	Name	Definition
OWNT	TypeOfOwnershipRejection	Type of ownership indicated is not correct.
NTAV	NotAvailable	Reason is not available or unknown.

76.1.29.23.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Status reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30 on page 2012](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.29.24 InsuranceType2Choice

Definition: Choice of formats for the specification of the type of insurance.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2392
Or}	Proprietary <Prtry>	[1..1]	±		2392

76.1.29.24.1 Code <Cd>

Presence: [1..1]

Definition: Type of insurance contract expressed as a code.

Datatype: Insurance1Code on page 3294

CodeName	Name	Definition
LIFE	LifeInsurance	Life insurance.
PDIS	PermanentDisabilityInsurance	Permanent disability insurance.

76.1.29.24.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of insurance contract expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.25 NewIssueAllocation2

Definition: Information about the investment account ownership with respect to new issue allocation for a hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Restricted <Rstrctd>	[1..1]	Indicator		2393
	ExemptPersonReason <XmptPrsnRsn>	[0..1]	Text		2393
	DeMinimus <DeMnms>	[0..1]	±		2393

76.1.29.25.1 Restricted <Rstrctd>

Presence: [1..1]

Definition: Indicates whether the investor is eligible to participate in the profits and losses from a new issue.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.25.2 ExemptPersonReason <XmptPrsnRsn>

Presence: [0..1]

Definition: Reason for exemption.

Datatype: [Max350Text](#) on page 3409

76.1.29.25.3 DeMinimus <DeMnms>

Presence: [0..1]

Definition: Conditions applicable when the investor is covered by the "de minimis" exemption.

DeMinimus <DeMnms> contains one of the following elements (see [DeMinimus1Choice](#) on page 1836 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DeMinimusApplicable <DeMnmsAplbl>	[1..1]	±		1836
Or}	DeMinimusNotApplicable <DeMnmsNotAplbl>	[1..1]	±		1837

76.1.29.26 Liability1Choice

Definition: Choice of formats for liability.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2394
Or}	Proprietary <Prtry>	[1..1]	±		2394

76.1.29.26.1 Code <Cd>

Presence: [1..1]

Definition: Liability expressed as a code.

Datatype: [Liability1Code on page 3314](#)

CodeName	Name	Definition
INVE	Investor	Investor is responsible.
BROK	Broker	Broker is responsible.

76.1.29.26.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Liability expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.27 LevelOfControl1Choice

Definition: Choice of formats for the level of control.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2394
Or}	Proprietary <Prtry>	[1..1]	±		2395

76.1.29.27.1 Code <Cd>

Presence: [1..1]

Definition: Level of control expressed as a code.

Datatype: [LevelOfControl1Code on page 3313](#)

CodeName	Name	Definition
TRAN	Transactions	Transactions are permitted on the account.
VIEW	View	Account may be viewed only.

76.1.29.27.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Level of control expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.28 CopyInformation4

Definition: Information provided when the message is a copy of a previous message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		2395
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	2395

76.1.29.28.1 CopyIndicator <CpyInd>

Presence: [1..1]

Definition: Indicates whether the message is a copy.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.28.2 OriginalReceiver <OrgnlRcvr>

Presence: [0..1]

Definition: Original receiver of the message, if this message is a copy.

Impacted by: C7 AnyBIC

Datatype: [AnyBICIdentifier](#) on page 3392

Constraints

- **AnyBIC**
(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.29.29 DeMinimusNotApplicable1

Definition: Conditions applicable when the investor is not covered by the "de minimis" exemption.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RestrictedPersonReason <RstrctdPrsnRsn>	[1..1]	Text		2396

76.1.29.29.1 RestrictedPersonReason <RstrctdPrsnRsn>

Presence: [1..1]

Definition: Reason for the restricted person.

Datatype: [Max350Text on page 3409](#)

76.1.29.30 DeMinimusApplicable1

Definition: Conditions applicable when the investor is covered by the "de minimis" exemption.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NewIssuePermission <NewIssePrmssn>	[1..1]	Indicator		2396
	Percentage <Pctg>	[0..1]	Rate		2396

76.1.29.30.1 NewIssuePermission <NewIssePrmssn>

Presence: [1..1]

Definition: Indicates whether the investor permits its beneficial owners that are restricted persons, if any, to participate in profits and losses allocated to the investor that are attribute to new issue securities.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.30.2 Percentage <Pctg>

Presence: [0..1]

Definition: Percentage of the new issue profits and losses that it receives to beneficial owners that are restricted persons.

Datatype: [PercentageRate on page 3406](#)

76.1.29.31 Role5Choice

Definition: Choice of format for a party role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2397
Or}	Proprietary <Prtry>	[1..1]	±		2398

76.1.29.31.1 Code <Cd>

Presence: [1..1]

Definition: Role expressed in as a code.

Datatype: [InvestmentFundRole2Code](#) on page 3302

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the

CodeName	Name	Definition
		transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

76.1.29.31.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Role expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.29.32 BeneficialOwner2

Definition: Provides information about the beneficial owner of the securities.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficialOwnerIdentification <BnfclOwnrld>	[1..1]	±		2399
	AdditionalIdentification <Addtlld>	[0..1]			2399
	Identification <Id>	[1..1]	Text		2400
	Type <Tp>	[1..1]			2400
{Or	Code <Cd>	[1..1]	CodeSet		2400
Or}	Proprietary <Prtry>	[1..1]	±		2401
	Issuer <Issr>	[0..1]	Text		2401
	IssueDate <Issedt>	[0..1]	Date		2401
	ExpiryDate <XpryDt>	[0..1]	Date		2402
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2402
	Nationality <Ntlty>	[0..1]	CodeSet	C11	2402
	DomicileCountry <DmclCtry>	[0..1]	CodeSet	C11	2402
	NonDomicileCountry <NonDmclCtry>	[0..1]	CodeSet	C11	2403
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2403
	CertificationType <CertfctnTp>	[0..1]	±		2404
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		2404

76.1.29.32.1 BeneficialOwnerIdentification <BnfclOwnrld>

Presence: [1..1]

Definition: Identification of the party that is the beneficial owner of the specified financial instrument.

BeneficialOwnerIdentification <BnfclOwnrld> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

76.1.29.32.2 AdditionalIdentification <Addtlld>

Presence: [0..1]

Definition: Additional identification of the party that is the beneficial owner of the specified financial instrument.

AdditionalIdentification <AddtId> contains the following **AlternateIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2400
	Type <Tp>	[1..1]			2400
{Or	Code <Cd>	[1..1]	CodeSet		2400
Or}	Proprietary <Prtry>	[1..1]	±		2401
	Issuer <Issr>	[0..1]	Text		2401
	IssueDate <IssDt>	[0..1]	Date		2401
	ExpiryDate <XpryDt>	[0..1]	Date		2402
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2402

76.1.29.32.2.1 Identification <Id>

Presence: [1..1]

Definition: Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

Datatype: Max35Text on page 3409

76.1.29.32.2.2 Type <Tp>

Presence: [1..1]

Definition: Specifies the nature of the identification.

Type <Tp> contains one of the following **OtherIdentification4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2400
Or}	Proprietary <Prtry>	[1..1]	±		2401

76.1.29.32.2.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of identification expressed as a code.

Datatype: PersonIdentificationType6Code on page 3327

CodeName	Name	Definition
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.

CodeName	Name	Definition
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
OTHR	Other	Another type of identification type.
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

76.1.29.32.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of identification expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.29.32.2.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identifier.

Datatype: [Max35Text on page 3409](#)

76.1.29.32.2.4 IssueDate <IssDt>

Presence: [0..1]

Definition: Date at which the identification was issued.

Datatype: [ISODate on page 3391](#)

76.1.29.32.2.5 ExpiryDate <XpryDt>

Presence: [0..1]

Definition: Date at which the identification expires.

Datatype: ISODate on page 3391

76.1.29.32.2.6 IssuerCountry <IssrCtry>

Presence: [0..1]

Definition: Country that issued the identification document.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.29.32.3 Nationality <Ntlty>

Presence: [0..1]

Definition: Nationality of the beneficial owner.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.29.32.4 DomicileCountry <DmclCtry>

Presence: [0..1]

Definition: Country in which the person is permanently domiciled (the place of a person's permanent home).

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.29.32.5 NonDomicileCountry <NonDmclCtry>

Presence: [0..1]

Definition: Country for which the holder of the financial instrument must specify that it is not domiciled. (The holder must certify, in line with the terms of the corporate action, that it is not domiciled in the country indicated.).

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.29.32.6 CertificationIndicator <CertfctnInd>

Presence: [0..1]

Definition: Indicates whether certification is required from the account owner. (Yes means that certification is required. No means certification is not required.).

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.32.7 CertificationType <CertfctnTp>

Presence: [0..1]

Definition: Type of beneficial owner certification that is required.

CertificationType <CertfctnTp> contains one of the following elements (see [BeneficiaryCertificationType9Choice](#) on page 2386 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2387
Or}	Proprietary <Prtry>	[1..1]	±		2387

76.1.29.32.8 DeclarationDetails <DclrtnDtls>

Presence: [0..1]

Definition: Declaration details related to the financial instrument, for example, beneficial ownership.

Datatype: [Max350Text](#) on page 3409

76.1.29.33 FATCAForm1Choice

Definition: Choice of formats for the type of Foreign Account Tax Compliance Act (FATCA) form.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2404
Or}	Proprietary <Prtry>	[1..1]	±		2405

76.1.29.33.1 Code <Cd>

Presence: [1..1]

Definition: Type of Foreign Account Tax Compliance Act (FATCA) form expressed as a code.

Datatype: [FATCAFormType1Code](#) on page 3279

CodeName	Name	Definition
CER5	CertificateForeignIntermediary	Certificate of foreign intermediary (also known as IRS form W-8IMY).
CER7	CertificateForeignPersonsClaim	Certificate of foreign person's claim that income is effectively connected with the conduct of a trade or business in the United States (also known as IRS form W-8BEN-E).
CER1	CertificateForeignStatusBeneficialOwner	Certificate of foreign status of beneficial owner (also known as IRS form W-8BEN).
CER2	CertificateLossNationality	Certificate of loss of nationality.
CER3	SelfCertification	Self certification.
CER4	SelfCertificationLossNationality	Self certificate of loss of nationality (also known as IRS form I-407).

CodeName	Name	Definition
CER6	TaxpayerIdentificationNumberRequest	Form is a request for taxpayer identification number and certification (also known as IRS form W9).

76.1.29.33.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of Foreign Account Tax Compliance Act (FATCA) form expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.34 FundCashOutBreakdown3

Definition: Breakdown of cash movements out of a fund as a result of investment funds transactions, eg, redemptions or switch-out.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2405
	UnitsNumber <UnitsNb>	[0..1]	±		2406
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		2406
	InvestmentFundTransactionOutType <InvstmtFndTxOutTp>	[1..1]			2407
{Or	Code <Cd>	[1..1]	CodeSet		2407
Or}	Proprietary <Prtry>	[1..1]	±		2407
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			2407
{Or	Code <Cd>	[1..1]	CodeSet		2408
Or}	Proprietary <Prtry>	[1..1]	±		2408
	ChargeDetails <ChrgDtls>	[0..*]	±		2408
	CommissionDetails <ComssnDtls>	[0..*]	±		2409
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	2409

76.1.29.34.1 Amount <Amt>

Presence: [0..1]

Definition: Amount of cash flow out, expressed as an amount of money.

Impacted by: C3 ActiveOrHistoricCurrency __, C12 CurrencyAmount __

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.29.34.2 UnitsNumber <UnitsNb>

Presence: [0..1]

Definition: Amount of the cash flow out, expressed as a number of units.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.29.34.3 NewAmountIndicator <NewAmtInd>

Presence: [0..1]

Definition: Indicates whether the cash flow is an item that did not appear on the previously sent report, for example, because it was received close to cut-off time.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.34.4 InvestmentFundTransactionOutType <InvstmtFndTxOutTp>

Presence: [1..1]

Definition: Type of transaction that resulted in the cash-out movement, for example, redemption, switch-out.

InvestmentFundTransactionOutType <InvstmtFndTxOutTp> contains one of the following **InvestmentFundTransactionOutType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2407
Or}	Proprietary <Prtry>	[1..1]	±		2407

76.1.29.34.4.1 Code <Cd>

Presence: [1..1]

Definition: Transaction type expressed as a code.

Datatype: InvestmentFundTransactionOutType1Code on page 3310

CodeName	Name	Definition
REDM	Redemption	Transaction is a redemption of an investment fund.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
INSP	InSpecie	Transaction is an InSpecie.
CROO	CrossOut	Transaction is a cross out.

76.1.29.34.4.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Transaction type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.34.5 OriginalOrderQuantityType <OrgnlOrdrQtyTp>

Presence: [1..1]

Definition: Specifies how the original order was expressed that resulted in the cash-out movement, that is cash or units.

OriginalOrderQuantityType <OrgnlOrdQtyTp> contains one of the following **QuantityType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2408
Or}	Proprietary <Prtry>	[1..1]	±		2408

76.1.29.34.5.1 Code <Cd>

Presence: [1..1]

Definition: Quantity type expressed as a code.

Datatype: [OrderQuantityType2Code](#) on page 3318

CodeName	Name	Definition
UNIT	Unit	Order is placed by unit.
CASH	Amount	Order is placed by amount of money.

76.1.29.34.5.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Quantity type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.34.6 ChargeDetails <ChrgDtls>

Presence: [0..*]

Definition: Charge for the placement of an order.

ChargeDetails <ChrgDtls> contains the following elements (see [Charge26](#) on page 1792 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1792
{Or	Code <Cd>	[1..1]	CodeSet		1793
Or}	Proprietary <Prtry>	[1..1]	±		1793
	ChargeApplied <ChrgApld>	[1..1]			1794
{Or	Amount <Amt>	[1..1]	Amount	C2	1794
Or}	Rate <Rate>	[1..1]	Rate		1794

76.1.29.34.7 CommissionDetails <ComssnDtIs>

Presence: [0..*]

Definition: Information related to the commission applied to an order, for example, back-end or front-end commission.

CommissionDetails <ComssnDtIs> contains the following elements (see [Commission21](#) on page 1817 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommissionType <ComssnTp>	[1..1]			1818
{Or	Code <Cd>	[1..1]	CodeSet		1818
Or}	Proprietary <Prtry>	[1..1]	±		1818
	CommissionApplied <ComssnApld>	[1..1]			1819
{Or	Amount <Amt>	[1..1]	Amount	C2	1819
Or}	Rate <Rate>	[1..1]	Rate		1819

76.1.29.34.8 SettlementCurrency <SttlmCcy>

Presence: [0..1]

Definition: Settlement currency for the transaction.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.29.35 FundCashInBreakdown3

Definition: Breakdown of cash movements into a fund as a result of investment funds transactions, eg, subscriptions or switch-in.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2410
	UnitsNumber <UnitsNb>	[0..1]	±		2411
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		2411
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			2411
{Or	Code <Cd>	[1..1]	CodeSet		2411
Or}	Proprietary <Prtry>	[1..1]	±		2412
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			2412
{Or	Code <Cd>	[1..1]	CodeSet		2412
Or}	Proprietary <Prtry>	[1..1]	±		2412
	ChargeDetails <ChrgDtls>	[0..*]	±		2413
	CommissionDetails <ComssnDtls>	[0..*]	±		2413
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	2414

76.1.29.35.1 Amount <Amt>

Presence: [0..1]

Definition: Amount of cash flow in, expressed as an amount of money.

Impacted by: C3 ActiveOrHistoricCurrency, C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.29.35.2 UnitsNumber <UnitsNb>

Presence: [0..1]

Definition: Amount of the cash flow in, expressed as a number of units.

UnitsNumber <UnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.29.35.3 NewAmountIndicator <NewAmtInd>

Presence: [0..1]

Definition: Indicates whether the cash flow is an item that did not appear on the previously sent report, for example, because it was received close to cut-off time.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.35.4 InvestmentFundTransactionInType <InvstmtFndTxInTp>

Presence: [1..1]

Definition: Type of transaction that resulted in the cash-in movement, for example, subscription, switch-in.

InvestmentFundTransactionInType <InvstmtFndTxInTp> contains one of the following **InvestmentFundTransactionInType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2411
Or}	Proprietary <Prtry>	[1..1]	±		2412

76.1.29.35.4.1 Code <Cd>

Presence: [1..1]

Definition: Transaction type expressed as a code.

Datatype: [InvestmentFundTransactionInType1Code](#) on page 3309

CodeName	Name	Definition
SUBS	Subscription	Transaction is a subscription to an investment fund.

CodeName	Name	Definition
SWII	SwitchIn	Transaction is a subscription leg of a switch order execution.
INSP	InSpecie	Transaction is an InSpecie.
CROI	CrossIn	Transaction is a cross-in.
RDIV	ReinvestmentOfDividend	Transaction is a reinvestment of dividend.

76.1.29.35.4.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Transaction type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchemeNm>	[0..1]	Text		2015

76.1.29.35.5 OriginalOrderQuantityType <OrgnlOrdrQtyTp>

Presence: [1..1]

Definition: Specifies how the original order was expressed that resulted in the cash-in movement, that is cash or units.

OriginalOrderQuantityType <OrgnlOrdrQtyTp> contains one of the following **QuantityType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2412
Or}	Proprietary <Prtry>	[1..1]	±		2412

76.1.29.35.5.1 Code <Cd>

Presence: [1..1]

Definition: Quantity type expressed as a code.

Datatype: [OrderQuantityType2Code on page 3318](#)

CodeName	Name	Definition
UNIT	Unit	Order is placed by unit.
CASH	Amount	Order is placed by amount of money.

76.1.29.35.5.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Quantity type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.35.6 ChargeDetails <ChrgDtls>

Presence: [0..*]

Definition: Charge for the placement of an order.

ChargeDetails <ChrgDtls> contains the following elements (see [Charge26](#) on page 1792 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1792
{Or	Code <Cd>	[1..1]	CodeSet		1793
Or}	Proprietary <Prtry>	[1..1]	±		1793
	ChargeApplied <ChrgApld>	[1..1]			1794
{Or	Amount <Amt>	[1..1]	Amount	C2	1794
Or}	Rate <Rate>	[1..1]	Rate		1794

76.1.29.35.7 CommissionDetails <ComssnDtls>

Presence: [0..*]

Definition: Information related to the commission applied to an order, for example, back-end or front-end commission.

CommissionDetails <ComssnDtls> contains the following elements (see [Commission21](#) on page 1817 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommissionType <ComssnTp>	[1..1]			1818
{Or	Code <Cd>	[1..1]	CodeSet		1818
Or}	Proprietary <Prtry>	[1..1]	±		1818
	CommissionApplied <ComssnApld>	[1..1]			1819
{Or	Amount <Amt>	[1..1]	Amount	C2	1819
Or}	Rate <Rate>	[1..1]	Rate		1819

76.1.29.35.8 SettlementCurrency <SttlmCcy>

Presence: [0..1]

Definition: Settlement currency for the transaction.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.29.36 AdditionalParameters1

Definition: Sort criteria.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[0..1]	CodeSet	C11	2414
	Currency <Ccy>	[0..1]	CodeSet	C3	2415
	GeographicalArea <GeoArea>	[0..1]	Text		2415

76.1.29.36.1 Country <Ctry>

Presence: [0..1]

Definition: Specifies the country.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.29.36.2 Currency <Ccy>

Presence: [0..1]

Definition: Specifies the currency.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.29.36.3 GeographicalArea <GeoArea>

Presence: [0..1]

Definition: Specifies the geographical area, eg, Asia-Pacific, Europe, Middle-East.

Datatype: Max35Text on page 3409

76.1.29.37 BreakdownByUserDefinedParameter3

Definition: Specifies the cash-in and cash-out flows by a user defined parameter/s.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[0..1]		C1, C2	2416
	AccountIdentification <AcctId>	[0..1]	±		2417
	OwnerIdentification <OwnrId>	[0..1]	±		2418
	AccountServicer <AcctSvcr>	[0..1]	±		2418
	Country <Ctry>	[0..1]	CodeSet	C11	2418
	Currency <Ccy>	[0..1]	CodeSet	C3	2419
	UserDefined <UsrDfnd>	[0..1]	±		2419
	CashInForecast <CshInFcst>	[0..*]		C5	2419
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2420
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2420
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2421
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2421
	CashInBreakdownDetails <CshInBrkdownDtls>	[0..*]	±		2421
	AdditionalBalance <AddtlBal>	[0..1]	±		2422
	CashOutForecast <CshOutFcst>	[0..*]		C6	2422
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2423
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2423
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2424
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2424
	CashOutBreakdownDetails <CshOutBrkdownDtls>	[0..*]	±		2424
	AdditionalBalance <AddtlBal>	[0..1]	±		2425
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2425

Constraints

• **UserDefinedRule**

(Rule)

At least one message element in the list (Party, Country, Currency, UserDefined) must be present.
 More than one element in the list (Party, Country, Currency, UserDefined) may be present.

76.1.29.37.1 Party <Pty>

Presence: [0..1]

Definition: Party for which the cash flow is being reported.

Impacted by: C1 AccountOrOwner1Rule, C2 AccountOrOwner2Rule

Party <Pty> contains the following **InvestmentAccount42** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	±		2417
	OwnerIdentification <OwnrId>	[0..1]	±		2418
	AccountServicer <AcctSvcr>	[0..1]	±		2418

Constraints

- **AccountOrOwner1Rule**

(Rule)

If AccountIdentification is not present, then OwnerIdentification must be present. Both AccountIdentification and OwnerIdentification may be present.

```
On Condition
    /AccountIdentification is absent
Following Must be True
    /OwnerIdentification Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00355
- *Error Text:*

- **AccountOrOwner2Rule**

(Rule)

If OwnerIdentification is not present, then AccountIdentification must be present. Both OwnerIdentification and AccountIdentification may be present.

```
On Condition
    /OwnerIdentification is absent
Following Must be True
    /AccountIdentification Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00356
- *Error Text:*

76.1.29.37.1.1 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

AccountIdentification <AcctId> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

76.1.29.37.1.2 OwnerIdentification <OwnrId>

Presence: [0..1]

Definition: Party that legally owns the account.

OwnerIdentification <OwnrId> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.29.37.1.3 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

AccountServicer <AcctSvcr> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.29.37.2 Country <Ctry>

Presence: [0..1]

Definition: Country for which the cash flow is being reported.

Impacted by: [C11 Country](#) ___

Datatype: [CountryCode](#) on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.29.37.3 Currency <Ccy>

Presence: [0..1]

Definition: Currency for which the cash flow is being reported.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.29.37.4 UserDefined <UsrDfnd>

Presence: [0..1]

Definition: Parameter for which the cash flow is being reported.

UserDefined <UsrDfnd> contains one of the following elements (see DataFormat2Choice on page 2896 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Structured <Strd>	[1..1]	±		2896
Or}	Unstructured <Ustrd>	[1..1]	Text		2897

76.1.29.37.5 CashInForecast <CshInFcst>

Presence: [0..*]

Definition: Cash movement into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

Impacted by: C5 AdditionalBalanceRule

CashInForecast <CshInFcst> contains the following **CashInForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2420
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2420
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2421
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2421
	CashInBreakdownDetails <CshInBrkdwnDtIs>	[0..*]	±		2421
	AdditionalBalance <AddtlBal>	[0..1]	±		2422

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.29.37.5.1 CashSettlementDate <CshSttlmDt>

Presence: [1..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

76.1.29.37.5.2 SubTotalAmount <SubTtlAmt>

Presence: [0..1]

Definition: Sub-total amount of the cash flow in, expressed as an amount of money.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.29.37.5.3 SubTotalUnitsNumber <SubTtlUnitsNb>

Presence: [0..1]

Definition: Sub-total amount of the cash flow in, expressed as a number of units.

SubTotalUnitsNumber <SubTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.29.37.5.4 ExceptionalCashFlowIndicator <XcptnCshFlowInd>

Presence: [0..1]

Definition: Indicates whether the estimated cash flow in is exceptional.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.37.5.5 CashInBreakdownDetails <CshInBrkdwnDtls>

Presence: [0..*]

Definition: Breakdown of cash in amounts by transaction and order type.

CashInBreakdownDetails <CshInBrkDwnDtls> contains the following elements (see [FundCashInBreakdown3](#) on page 2409 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2410
	UnitsNumber <UnitsNb>	[0..1]	±		2411
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		2411
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			2411
{Or	Code <Cd>	[1..1]	CodeSet		2411
Or}	Proprietary <Prtry>	[1..1]	±		2412
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			2412
{Or	Code <Cd>	[1..1]	CodeSet		2412
Or}	Proprietary <Prtry>	[1..1]	±		2412
	ChargeDetails <ChrgDtls>	[0..*]	±		2413
	CommissionDetails <ComssnDtls>	[0..*]	±		2413
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	2414

76.1.29.37.5.6 AdditionalBalance <AddtlBal>

Presence: [0..1]

Definition: Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

AdditionalBalance <AddtlBal> contains the following elements (see [FundBalance1](#) on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1693
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1693
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1693
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1694

76.1.29.37.6 CashOutForecast <CshOutFcst>

Presence: [0..*]

Definition: Cash movement out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

Impacted by: [C6 AdditionalBalanceRule](#)

CashOutForecast <CshOutFcst> contains the following **CashOutForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2423
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2423
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2424
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2424
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		2424
	AdditionalBalance <AddtlBal>	[0..1]	±		2425

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.29.37.6.1 CashSettlementDate <CshSttlmDt>

Presence: [1..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

76.1.29.37.6.2 SubTotalAmount <SubTtlAmt>

Presence: [0..1]

Definition: Sub-total amount of the cash flow out, expressed as an amount of money.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.29.37.6.3 SubTotalUnitsNumber <SubTtlUnitsNb>

Presence: [0..1]

Definition: Sub-total amount of the cash flow out, expressed as a number of units.

SubTotalUnitsNumber <SubTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.29.37.6.4 ExceptionalCashFlowIndicator <XcptnCshFlowInd>

Presence: [0..1]

Definition: Indicates whether the estimated cash flow out is exceptional.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.37.6.5 CashOutBreakdownDetails <CshOutBrkdwnDtIs>

Presence: [0..*]

Definition: Breakdown of cash out amounts by transaction and order type.

CashOutBreakdownDetails <CshOutBrkdwDtls> contains the following elements (see [FundCashOutBreakdown3](#) on page 2405 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2405
	UnitsNumber <UnitsNb>	[0..1]	±		2406
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		2406
	InvestmentFundTransactionOutType <InvstmtFndTxOutTp>	[1..1]			2407
{Or	Code <Cd>	[1..1]	CodeSet		2407
Or}	Proprietary <Prtry>	[1..1]	±		2407
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			2407
{Or	Code <Cd>	[1..1]	CodeSet		2408
Or}	Proprietary <Prtry>	[1..1]	±		2408
	ChargeDetails <ChrgDtls>	[0..*]	±		2408
	CommissionDetails <ComssnDtls>	[0..*]	±		2409
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	2409

76.1.29.37.6 AdditionalBalance <AddtlBal>

Presence: [0..1]

Definition: Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

AdditionalBalance <AddtlBal> contains the following elements (see [FundBalance1](#) on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1693
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1693
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1693
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1694

76.1.29.37.7 NetCashForecast <NetCshFcst>

Presence: [0..*]

Definition: Net cash as a result of the cash-in and cash-out flows specified for the user defined parameter.

Impacted by: C7 AdditionalBalanceRule

NetCashForecast <NetCshFcst> contains the following elements (see NetCashForecast4 on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1734
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1734
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1735
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1735
	AdditionalBalance <AddtlBal>	[0..1]	±		1736

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

 /AdditionalBalance is present

Following Must be True

 /AdditionalBalance/TotalUnitsFromUnitOrders Must be present

 Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

 Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

 Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.29.38 BreakdownByCurrency2

Definition: Specifies the cash-in and cash-out flows by currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C3	2427
	CashOutForecast <CshOutFcst>	[0..*]		C6	2428
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2428
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2428
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2429
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2429
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		2430
	AdditionalBalance <AddtlBal>	[0..1]	±		2430
	CashInForecast <CshInFcst>	[0..*]		C5	2431
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2432
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2432
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2432
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2433
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		2433
	AdditionalBalance <AddtlBal>	[0..1]	±		2433
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2434

76.1.29.38.1 Currency <Ccy>

Presence: [1..1]

Definition: Currency for which the cash flow is being reported.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006

– *Error Text:* Invalid currency code.

76.1.29.38.2 CashOutForecast <CshOutFcst>

Presence: [0..*]

Definition: Cash movement out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

Impacted by: [C6 AdditionalBalanceRule](#)

CashOutForecast <CshOutFcst> contains the following **CashOutForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2428
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2428
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2429
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2429
	CashOutBreakdownDetails <CshOutBrkdownDtls>	[0..*]	±		2430
	AdditionalBalance <AddttlBal>	[0..1]	±		2430

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.29.38.2.1 CashSettlementDate <CshSttlmDt>

Presence: [1..1]

Definition: Date on which cash is available.

Datatype: [ISODate](#) on page 3391

76.1.29.38.2.2 SubTotalAmount <SubTtlAmt>

Presence: [0..1]

Definition: Sub-total amount of the cash flow out, expressed as an amount of money.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.29.38.2.3 SubTotalUnitsNumber <SubTtlUnitsNb>

Presence: [0..1]

Definition: Sub-total amount of the cash flow out, expressed as a number of units.

SubTotalUnitsNumber <SubTtlUnitsNb> contains the following elements (see FinancialInstrumentQuantity1 on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.29.38.2.4 ExceptionalCashFlowIndicator <XcptnCshFlowInd>

Presence: [0..1]

Definition: Indicates whether the estimated cash flow out is exceptional.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.38.2.5 CashOutBreakdownDetails <CshOutBrkdownDtls>

Presence: [0..*]

Definition: Breakdown of cash out amounts by transaction and order type.

CashOutBreakdownDetails <CshOutBrkdownDtls> contains the following elements (see [FundCashOutBreakdown3](#) on page 2405 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2405
	UnitsNumber <UnitsNb>	[0..1]	±		2406
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		2406
	InvestmentFundTransactionOutType <InvstmtFndTxOutTp>	[1..1]			2407
{Or	Code <Cd>	[1..1]	CodeSet		2407
Or}	Proprietary <Prtry>	[1..1]	±		2407
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			2407
{Or	Code <Cd>	[1..1]	CodeSet		2408
Or}	Proprietary <Prtry>	[1..1]	±		2408
	ChargeDetails <ChrgDtls>	[0..*]	±		2408
	CommissionDetails <ComssnDtls>	[0..*]	±		2409
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	2409

76.1.29.38.2.6 AdditionalBalance <AddtlBal>

Presence: [0..1]

Definition: Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

AdditionalBalance <AddtlBal> contains the following elements (see [FundBalance1](#) on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1693
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1693
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1693
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1694

76.1.29.38.3 CashInForecast <CshInFcst>

Presence: [0..*]

Definition: Cash movement into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

Impacted by: [C5 AdditionalBalanceRule](#)

CashInForecast <CshInFcst> contains the following **CashInForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2432
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2432
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2432
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2433
	CashInBreakdownDetails <CshInBrkdwDtls>	[0..*]	±		2433
	AdditionalBalance <AddtlBal>	[0..1]	±		2433

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.29.38.3.1 CashSettlementDate <CshSttImDt>

Presence: [1..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

76.1.29.38.3.2 SubTotalAmount <SubTtIAmt>

Presence: [0..1]

Definition: Sub-total amount of the cash flow in, expressed as an amount of money.

Impacted by: C3 ActiveOrHistoricCurrency __, C12 CurrencyAmount __

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.29.38.3.3 SubTotalUnitsNumber <SubTtIUnitsNb>

Presence: [0..1]

Definition: Sub-total amount of the cash flow in, expressed as a number of units.

SubTotalUnitsNumber <SubTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.29.38.3.4 ExceptionalCashFlowIndicator <XcptnCshFlowInd>

Presence: [0..1]

Definition: Indicates whether the estimated cash flow in is exceptional.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.38.3.5 CashInBreakdownDetails <CshInBrkdwnDtls>

Presence: [0..*]

Definition: Breakdown of cash in amounts by transaction and order type.

CashInBreakdownDetails <CshInBrkdwnDtls> contains the following elements (see [FundCashInBreakdown3](#) on page 2409 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2410
	UnitsNumber <UnitsNb>	[0..1]	±		2411
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		2411
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			2411
{Or	Code <Cd>	[1..1]	CodeSet		2411
Or}	Proprietary <Prtry>	[1..1]	±		2412
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			2412
{Or	Code <Cd>	[1..1]	CodeSet		2412
Or}	Proprietary <Prtry>	[1..1]	±		2412
	ChargeDetails <ChrgDtls>	[0..*]	±		2413
	CommissionDetails <ComssnDtls>	[0..*]	±		2413
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	2414

76.1.29.38.3.6 AdditionalBalance <AddtlBal>

Presence: [0..1]

Definition: Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

AdditionalBalance <AddtlBal> contains the following elements (see [FundBalance1](#) on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1693
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1693
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1693
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1694

76.1.29.38.4 NetCashForecast <NetCshFcst>

Presence: [0..*]

Definition: Net cash as a result of the cash-in and cash-out flows specified for the currency.

Impacted by: [C7 AdditionalBalanceRule](#)

NetCashForecast <NetCshFcst> contains the following elements (see [NetCashForecast4](#) on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1734
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1734
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1735
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1735
	AdditionalBalance <AddtlBal>	[0..1]	±		1736

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

 /AdditionalBalance is present

Following Must be True

 /AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

- Error severity: Fatal
- Error Code: X00360
- Error Text:

76.1.29.39 BreakdownByCountry2

Definition: Specifies the cash-in and cash-out flows by country.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2435
	CashInForecast <CshInFcst>	[0..*]		C5	2436
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2437
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2437
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2437
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2438
	CashInBreakdownDetails <CshInBrkdownDtls>	[0..*]	±		2438
	AdditionalBalance <AddtlBal>	[0..1]	±		2438
	CashOutForecast <CshOutFcst>	[0..*]		C6	2439
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2440
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2440
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2440
	ExceptionalCashFlowIndicator <XcptnCshFlowInd>	[0..1]	Indicator		2441
	CashOutBreakdownDetails <CshOutBrkdownDtls>	[0..*]	±		2441
	AdditionalBalance <AddtlBal>	[0..1]	±		2441
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2442

76.1.29.39.1 Country <Ctry>

Presence: [1..1]

Definition: Country for which the cash flow is being reported.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**
(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.29.39.2 CashInForecast <CshInFcst>

Presence: [0..*]

Definition: Cash movement into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

Impacted by: C5 AdditionalBalanceRule

CashInForecast <CshInFcst> contains the following **CashInForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2437
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2437
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2437
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2438
	CashInBreakdownDetails <CshInBrkdownDtls>	[0..*]	±		2438
	AdditionalBalance <AddtlBal>	[0..1]	±		2438

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360

– *Error Text:*

76.1.29.39.2.1 CashSettlementDate <CshSttImDt>

Presence: [1..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

76.1.29.39.2.2 SubTotalAmount <SubTtlIAmt>

Presence: [0..1]

Definition: Sub-total amount of the cash flow in, expressed as an amount of money.

Impacted by: C3 ActiveOrHistoricCurrency __, C12 CurrencyAmount __

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.29.39.2.3 SubTotalUnitsNumber <SubTtlUnitsNb>

Presence: [0..1]

Definition: Sub-total amount of the cash flow in, expressed as a number of units.

SubTotalUnitsNumber <SubTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.29.39.2.4 ExceptionalCashFlowIndicator <XcptnCshFlowInd>

Presence: [0..1]

Definition: Indicates whether the estimated cash flow in is exceptional.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.39.2.5 CashInBreakdownDetails <CshInBrkdwnDtls>

Presence: [0..*]

Definition: Breakdown of cash in amounts by transaction and order type.

CashInBreakdownDetails <CshInBrkdwnDtls> contains the following elements (see [FundCashInBreakdown3](#) on page 2409 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2410
	UnitsNumber <UnitsNb>	[0..1]	±		2411
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		2411
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			2411
{Or	Code <Cd>	[1..1]	CodeSet		2411
Or}	Proprietary <Prtry>	[1..1]	±		2412
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			2412
{Or	Code <Cd>	[1..1]	CodeSet		2412
Or}	Proprietary <Prtry>	[1..1]	±		2412
	ChargeDetails <ChrgDtls>	[0..*]	±		2413
	CommissionDetails <ComssnDtls>	[0..*]	±		2413
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	2414

76.1.29.39.2.6 AdditionalBalance <AddtlBal>

Presence: [0..1]

Definition: Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

AdditionalBalance <AddtlBal> contains the following elements (see [FundBalance1](#) on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1693
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1693
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1693
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1694

76.1.29.39.3 CashOutForecast <CshOutFcst>

Presence: [0..*]

Definition: Cash movement out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

Impacted by: [C6 AdditionalBalanceRule](#)

CashOutForecast <CshOutFcst> contains the following **CashOutForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2440
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2440
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2440
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2441
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		2441
	AdditionalBalance <AddtlBal>	[0..1]	±		2441

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

 /AdditionalBalance is present

Following Must be True

 /AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00360
- *Error Text:*

76.1.29.39.3.1 CashSettlementDate <CshSttlmDt>

Presence: [1..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

76.1.29.39.3.2 SubTotalAmount <SubTtlAmt>

Presence: [0..1]

Definition: Sub-total amount of the cash flow out, expressed as an amount of money.

Impacted by: C3 ActiveOrHistoricCurrency , C12 CurrencyAmount

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.29.39.3.3 SubTotalUnitsNumber <SubTtlUnitsNb>

Presence: [0..1]

Definition: Sub-total amount of the cash flow out, expressed as a number of units.

SubTotalUnitsNumber <SubTtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.29.39.3.4 ExceptionalCashFlowIndicator <XcptnCshFlowInd>

Presence: [0..1]

Definition: Indicates whether the estimated cash flow out is exceptional.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.39.3.5 CashOutBreakdownDetails <CshOutBrkdwDtls>

Presence: [0..*]

Definition: Breakdown of cash out amounts by transaction and order type.

CashOutBreakdownDetails <CshOutBrkdwDtls> contains the following elements (see [FundCashOutBreakdown3](#) on page 2405 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2405
	UnitsNumber <UnitsNb>	[0..1]	±		2406
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		2406
	InvestmentFundTransactionOutType <InvstmtFndTxOutTp>	[1..1]			2407
{Or	Code <Cd>	[1..1]	CodeSet		2407
Or}	Proprietary <Prtry>	[1..1]	±		2407
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			2407
{Or	Code <Cd>	[1..1]	CodeSet		2408
Or}	Proprietary <Prtry>	[1..1]	±		2408
	ChargeDetails <ChrgDtls>	[0..*]	±		2408
	CommissionDetails <ComssnDtls>	[0..*]	±		2409
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	2409

76.1.29.39.3.6 AdditionalBalance <AddtlBal>

Presence: [0..1]

Definition: Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

AdditionalBalance <AddtlBal> contains the following elements (see [FundBalance1](#) on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1693
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1693
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1693
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1694

76.1.29.39.4 NetCashForecast <NetCshFcst>

Presence: [0..*]

Definition: Net cash as a result of the cash-in and cash-out flows specified for the country.

Impacted by: [C7 AdditionalBalanceRule](#)

NetCashForecast <NetCshFcst> contains the following elements (see [NetCashForecast4](#) on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1734
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1734
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1735
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1735
	AdditionalBalance <AddtlBal>	[0..1]	±		1736

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

 /AdditionalBalance is present

Following Must be True

 /AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

- Error severity: Fatal
- Error Code: X00360
- Error Text:

76.1.29.40 BreakdownByParty3

Definition: Specifies the cash-in and cash-out flows by party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]		C1, C2	2443
	AccountIdentification <AcctId>	[0..1]	±		2444
	OwnerIdentification <OwnrId>	[0..1]	±		2445
	AccountServicer <AcctSvcr>	[0..1]	±		2445
	AdditionalParameters <AddtlParams>	[0..1]	±		2445
	CashInForecast <CshInFcst>	[0..*]		C5	2446
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2446
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2446
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2447
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2447
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		2448
	AdditionalBalance <AddtlBal>	[0..1]	±		2448
	CashOutForecast <CshOutFcst>	[0..*]		C6	2449
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2449
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2449
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2450
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2450
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		2451
	AdditionalBalance <AddtlBal>	[0..1]	±		2451
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	2452

76.1.29.40.1 Party <Pty>

Presence: [1..1]

Definition: Party, for example, fund management company, for which the cash flow is being reported.

Impacted by: C1 AccountOrOwner1Rule, C2 AccountOrOwner2Rule

Party <Pty> contains the following **InvestmentAccount42** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	±		2444
	OwnerIdentification <OwnrId>	[0..1]	±		2445
	AccountServicer <AcctSvcr>	[0..1]	±		2445

Constraints

- **AccountOrOwner1Rule**

(Rule)

If AccountIdentification is not present, then OwnerIdentification must be present. Both AccountIdentification and OwnerIdentification may be present.

```
On Condition
    /AccountIdentification is absent
Following Must be True
    /OwnerIdentification Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00355
- *Error Text:*

- **AccountOrOwner2Rule**

(Rule)

If OwnerIdentification is not present, then AccountIdentification must be present. Both OwnerIdentification and AccountIdentification may be present.

```
On Condition
    /OwnerIdentification is absent
Following Must be True
    /AccountIdentification Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00356
- *Error Text:*

76.1.29.40.1.1 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

AccountIdentification <AcctId> contains the following elements (see [AccountIdentification1](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1608

76.1.29.40.1.2 OwnerIdentification <OwnrId>

Presence: [0..1]

Definition: Party that legally owns the account.

OwnerIdentification <OwnrId> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.29.40.1.3 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

AccountServicer <AcctSvcr> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.29.40.2 AdditionalParameters <AddtlParams>

Presence: [0..1]

Definition: Additional parameter/s applied to the cash flow by party.

AdditionalParameters <AddtlParams> contains the following elements (see [AdditionalParameters1](#) on page 2414 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[0..1]	CodeSet	C11	2414
	Currency <Ccy>	[0..1]	CodeSet	C3	2415
	GeographicalArea <GeoArea>	[0..1]	Text		2415

76.1.29.40.3 CashInForecast <CshInFcst>

Presence: [0..*]

Definition: Cash movement into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

Impacted by: C5 AdditionalBalanceRule

CashInForecast <CshInFcst> contains the following **CashInForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2446
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2446
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2447
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2447
	CashInBreakdownDetails <CshInBrkdwDtls>	[0..*]	±		2448
	AdditionalBalance <AddtlBal>	[0..1]	±		2448

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.29.40.3.1 CashSettlementDate <CshSttlmDt>

Presence: [1..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

76.1.29.40.3.2 SubTotalAmount <SubTtlAmt>

Presence: [0..1]

Definition: Sub-total amount of the cash flow in, expressed as an amount of money.

Impacted by: C3 ActiveOrHistoricCurrency __, C12 CurrencyAmount __

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.29.40.3.3 SubTotalUnitsNumber <SubTtlUnitsNb>

Presence: [0..1]

Definition: Sub-total amount of the cash flow in, expressed as a number of units.

SubTotalUnitsNumber <SubTtlUnitsNb> contains the following elements (see FinancialInstrumentQuantity1 on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.29.40.3.4 ExceptionalCashFlowIndicator <XcptnCshFlowInd>

Presence: [0..1]

Definition: Indicates whether the estimated cash flow in is exceptional.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.40.3.5 CashInBreakdownDetails <CshInBrkdwnDtls>

Presence: [0..*]

Definition: Breakdown of cash in amounts by transaction and order type.

CashInBreakdownDetails <CshInBrkdwnDtls> contains the following elements (see [FundCashInBreakdown3](#) on page 2409 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2410
	UnitsNumber <UnitsNb>	[0..1]	±		2411
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		2411
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			2411
{Or	Code <Cd>	[1..1]	CodeSet		2411
Or}	Proprietary <Prtry>	[1..1]	±		2412
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			2412
{Or	Code <Cd>	[1..1]	CodeSet		2412
Or}	Proprietary <Prtry>	[1..1]	±		2412
	ChargeDetails <ChrgDtls>	[0..*]	±		2413
	CommissionDetails <ComssnDtls>	[0..*]	±		2413
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	2414

76.1.29.40.3.6 AdditionalBalance <AddtlBal>

Presence: [0..1]

Definition: Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

AdditionalBalance <AddtlBal> contains the following elements (see [FundBalance1](#) on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1693
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1693
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1693
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1694

76.1.29.40.4 CashOutForecast <CshOutFcst>

Presence: [0..*]

Definition: Cash movement out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

Impacted by: C6 AdditionalBalanceRule

CashOutForecast <CshOutFcst> contains the following **CashOutForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		2449
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	2449
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		2450
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		2450
	CashOutBreakdownDetails <CshOutBrkdwDtls>	[0..*]	±		2451
	AdditionalBalance <AddtlBal>	[0..1]	±		2451

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00360

– *Error Text:*

76.1.29.40.4.1 CashSettlementDate <CshSttlmDt>

Presence: [1..1]

Definition: Date on which cash is available.

Datatype: ISODate on page 3391

76.1.29.40.4.2 SubTotalAmount <SubTtlAmt>

Presence: [0..1]

Definition: Sub-total amount of the cash flow out, expressed as an amount of money.

Impacted by: C3 ActiveOrHistoricCurrency __, C12 CurrencyAmount __

Datatype: ActiveOrHistoricCurrencyAndAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.29.40.4.3 SubTotalUnitsNumber <SubTtlUnitsNb>

Presence: [0..1]

Definition: Sub-total amount of the cash flow out, expressed as a number of units.

SubTotalUnitsNumber <SubTtlUnitsNb> contains the following elements (see FinancialInstrumentQuantity1 on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.29.40.4.4 ExceptionalCashFlowIndicator <XcptnCshFlowInd>

Presence: [0..1]

Definition: Indicates whether the estimated cash flow out is exceptional.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.40.4.5 CashOutBreakdownDetails <CshOutBrkdwnDtls>

Presence: [0..*]

Definition: Breakdown of cash out amounts by transaction and order type.

CashOutBreakdownDetails <CshOutBrkdwnDtls> contains the following elements (see [FundCashOutBreakdown3](#) on page 2405 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	2405
	UnitsNumber <UnitsNb>	[0..1]	±		2406
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		2406
	InvestmentFundTransactionOutType <InvstmtFndTxOutTp>	[1..1]			2407
{Or	Code <Cd>	[1..1]	CodeSet		2407
Or}	Proprietary <Prtry>	[1..1]	±		2407
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			2407
{Or	Code <Cd>	[1..1]	CodeSet		2408
Or}	Proprietary <Prtry>	[1..1]	±		2408
	ChargeDetails <ChrgDtls>	[0..*]	±		2408
	CommissionDetails <ComssnDtls>	[0..*]	±		2409
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	2409

76.1.29.40.4.6 AdditionalBalance <AddtlBal>

Presence: [0..1]

Definition: Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

AdditionalBalance <AddtlBal> contains the following elements (see [FundBalance1](#) on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1693
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1693
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1693
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1694

76.1.29.40.5 NetCashForecast <NetCshFcst>

Presence: [0..*]

Definition: Net cash as a result of the cash-in and cash-out flows specified for the party.

Impacted by: C7 AdditionalBalanceRule

NetCashForecast <NetCshFcst> contains the following elements (see NetCashForecast4 on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1734
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1734
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1735
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1735
	AdditionalBalance <AddtlBal>	[0..1]	±		1736

Constraints

- **AdditionalBalanceRule**

(Rule)

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

Error handling:

– Error severity: Fatal

– Error Code: X00360

– Error Text:

76.1.29.41 MarketPracticeVersion1

Definition: Identifies the implementation and version.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2453
	Date <Dt>	[0..1]	YearMonth		2453
	Number <Nb>	[0..1]	Text		2453

76.1.29.41.1 Name <Nm>

Presence: [1..1]

Definition: Market practice, for example, "UKTRANSFERS", "FINDELSLT".

Datatype: [Max35Text on page 3409](#)

76.1.29.41.2 Date <Dt>

Presence: [0..1]

Definition: Year and month, for example, 2013-06.

Datatype: [ISOYearMonth on page 3411](#)

76.1.29.41.3 Number <Nb>

Presence: [0..1]

Definition: Version of the market practice.

Datatype: [Max35Text on page 3409](#)

76.1.29.42 MiFIDClassification1

Definition: Details about the MiFID classification of the account owner.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Classification <Clssfctn>	[1..1]	CodeSet		2453
	Narrative <Nrrtv>	[0..1]	Text		2453

76.1.29.42.1 Classification <Clssfctn>

Presence: [1..1]

Definition: MiFID classification of the account owner.

Datatype: [OrderOriginatorEligibility1Code on page 3317](#)

CodeName	Name	Definition
ELIG	Eligible	Eligible counterparty - MiFID classification of counterparty. Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules defined under MiFID.
RETL	Retail	Retail client - MiFID classification of counterparty. Retail customers are the least sophisticated level of investor.
PROF	Professional	Professional client - MiFID classification of counterparty. Professional customers are, for example, investment firms, credit institutions, insurance companies.

76.1.29.42.2 Narrative <Nrrtv>

Presence: [0..1]

Definition: Additional information about the source of classification.

Datatype: [Max350Text on page 3409](#)

76.1.29.43 LetterIntent1

Definition: Specifies information about the letter of intent.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LetterIntentReference <LtrInttRef>	[1..1]	Text		2454
	Amount <Amt>	[0..1]	Amount	C2	2454
	StartDate <StartDt>	[0..1]	Date		2454
	EndDate <EndDt>	[0..1]	Date		2455

76.1.29.43.1 LetterIntentReference <LtrInttRef>

Presence: [1..1]

Definition: Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer.

Datatype: [Max35Text on page 3409](#)

76.1.29.43.2 Amount <Amt>

Presence: [0..1]

Definition: Amount stated on the letter of intent.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyAnd13DecimalAmount on page 3237](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.29.43.3 StartDate <StartDt>

Presence: [0..1]

Definition: Start date stated on the letter of intent.

Datatype: [ISODate on page 3391](#)

76.1.29.43.4 EndDate <EndDt>

Presence: [0..1]

Definition: End date stated on the letter of intent.

Datatype: [ISODate on page 3391](#)

76.1.29.44 TransactionChannelType1Choice

Definition: Choice of formats for the specification of the type of transaction Channel.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2455
Or}	Proprietary <Prtry>	[1..1]	±		2455

76.1.29.44.1 Code <Cd>

Presence: [1..1]

Definition: Type of transaction channel expressed as a code.

Datatype: [TransactionChannel2Code on page 3377](#)

CodeName	Name	Definition
FIAD	FinancialAdvisor	Financial advisor.
HOBA	HomeBanking	Home banking.
BRAN	OfficeOrBranch	Office or branch.

76.1.29.44.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of transaction channel expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.29.45 ValuationStatistics3

Definition: Statistical data related to the price change of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C3	2457
	PriceTypeChangeBasis <PricTpChngBsis>	[1..1]		C18	2458
	Structured <Strd>	[1..1]	CodeSet		2458
	AdditionalInformation <AddtlInf>	[0..1]	Text		2459
	PriceChange <PricChng>	[1..1]		C5, C6	2459
	Amount <Amt>	[0..1]	Amount	C3	2460
	AmountSign <AmtSgn>	[0..1]	Indicator		2460
	Rate <Rate>	[0..1]	Rate		2461
	Yield <Yld>	[0..1]	Rate		2461
	ByPredefinedTimePeriods <ByPrdfndTmPrds>	[0..1]			2461
	HighestPriceValue12Months <HghstPricVal12Mnths>	[0..1]			2462
	Amount <Amt>	[1..1]	Amount	C3	2462
	LowestPriceValue12Months <LwstPricVal12Mnths>	[0..1]			2462
	Amount <Amt>	[1..1]	Amount	C3	2462
	OneYearPriceChange <OneYrPricChng>	[0..1]		C5, C6	2463
	Amount <Amt>	[0..1]	Amount	C3	2463
	AmountSign <AmtSgn>	[0..1]	Indicator		2464
	Rate <Rate>	[0..1]	Rate		2464
	ThreeYearPriceChange <ThreeYrPricChng>	[0..1]		C5, C6	2464
	Amount <Amt>	[0..1]	Amount	C3	2465
	AmountSign <AmtSgn>	[0..1]	Indicator		2465
	Rate <Rate>	[0..1]	Rate		2465
	FiveYearPriceChange <FiveYrPricChng>	[0..1]		C5, C6	2465
	Amount <Amt>	[0..1]	Amount	C3	2466
	AmountSign <AmtSgn>	[0..1]	Indicator		2466
	Rate <Rate>	[0..1]	Rate		2467
	ByUserDefinedTimePeriod <ByUsrDfndTmPrd>	[0..*]			2467
	Period <Prd>	[1..1]	±		2467
	HighestPriceValue <HghstPricVal>	[0..1]			2467
	Amount <Amt>	[1..1]	Amount	C3	2468
	LowestPriceValue <LwstPricVal>	[0..1]			2468

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C3	2468
	PriceChange <PricChng>	[0..1]		C5, C6	2469
	Amount <Amt>	[0..1]	Amount	C3	2469
	AmountSign <AmtSgn>	[0..1]	Indicator		2470
	Rate <Rate>	[0..1]	Rate		2470
	Yield <Yld>	[0..1]	Rate		2470

Constraints

- **CurrencyPredefinedPeriodsRule**

(Rule)

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

- **CurrencyPriceChangeRule**

(Rule)

Currency in PriceChange/Amount must be the same as Currency.

- **CurrencyUserDefinedPeriodsRule**

(Rule)

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

76.1.29.45.1 Currency <Ccy>

Presence: [1..1]

Definition: Currency of the valuation statistics.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.29.45.2 PriceTypeChangeBasis <PricTpChngBsis>

Presence: [1..1]

Definition: Type of price from which the change is calculated, eg, bid, offer, or single.

Impacted by: [C18 OtherCodeRule](#)

PriceTypeChangeBasis <PricTpChngBsis> contains the following **PriceType2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		2458
	AdditionalInformation <AddtlInf>	[0..1]	Text		2459

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

76.1.29.45.2.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: [TypeOfPrice6Code](#) on page 3386

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.

CodeName	Name	Definition
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
OTHR	Other	Price is another type of price, which is not explicitly defined.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
NAUP	NonAdjustedUnpublished	The original NAV before the price of the investment fund was swung.

76.1.29.45.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the type of charge.

Datatype: Max350Text on page 3409

76.1.29.45.3 PriceChange <PricChng>

Presence: [1..1]

Definition: Change in price since the previous valuation date.

Impacted by: C5 AmountAndOrRateRule, C6 AmountSignRule

PriceChange <PricChng> contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3	2460
	AmountSign <AmtSgn>	[0..1]	Indicator		2460
	Rate <Rate>	[0..1]	Rate		2461

Constraints

- **AmountAndOrRateRule**

(Rule)

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

(Rule)

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

76.1.29.45.3.1 Amount <Amt>

Presence: [0..1]

Definition: Amount by which the price has changed.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.29.45.3.2 AmountSign <AmtSgn>

Presence: [0..1]

Definition: Indicates a positive or negative amount change.

Datatype: One of the following values must be used (see PlusOrMinusIndicator on page 3405):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

76.1.29.45.3 Rate <Rate>

Presence: [0..1]

Definition: Rate by which the price has changed.

Datatype: PercentageRate on page 3406

76.1.29.45.4 Yield <Yld>

Presence: [0..1]

Definition: Rate of income from the financial instrument, usually calculated as total dividends or coupon interest available to investors in the last year, divided by the current price.

Datatype: PercentageRate on page 3406

76.1.29.45.5 ByPredefinedTimePeriods <ByPrdfndTmPrds>

Presence: [0..1]

Definition: Information related to price variations, expressed using pre-defined periods.

ByPredefinedTimePeriods <ByPrdfndTmPrds> contains the following **StatisticsByPredefinedTimePeriods2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	HighestPriceValue12Months <HghstPricVal12Mnths>	[0..1]			2462
	Amount <Amt>	[1..1]	Amount	C3	2462
	LowestPriceValue12Months <LwstPricVal12Mnths>	[0..1]			2462
	Amount <Amt>	[1..1]	Amount	C3	2462
	OneYearPriceChange <OneYrPricChng>	[0..1]		C5, C6	2463
	Amount <Amt>	[0..1]	Amount	C3	2463
	AmountSign <AmtSgn>	[0..1]	Indicator		2464
	Rate <Rate>	[0..1]	Rate		2464
	ThreeYearPriceChange <ThreeYrPricChng>	[0..1]		C5, C6	2464
	Amount <Amt>	[0..1]	Amount	C3	2465
	AmountSign <AmtSgn>	[0..1]	Indicator		2465
	Rate <Rate>	[0..1]	Rate		2465
	FiveYearPriceChange <FiveYrPricChng>	[0..1]		C5, C6	2465
	Amount <Amt>	[0..1]	Amount	C3	2466
	AmountSign <AmtSgn>	[0..1]	Indicator		2466
	Rate <Rate>	[0..1]	Rate		2467

76.1.29.45.5.1 HighestPriceValue12Months <HghstPricVal12Mnths>

Presence: [0..1]

Definition: Highest price for the referenced period.

HighestPriceValue12Months <HghstPricVal12Mnths> contains the following **PriceValue5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C3	2462

76.1.29.45.5.1.1 Amount <Amt>

Presence: [1..1]

Definition: Price expressed as a currency and value.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.29.45.5.2 LowestPriceValue12Months <LwstPricVal12Mnths>

Presence: [0..1]

Definition: Lowest price for the referenced period.

LowestPriceValue12Months <LwstPricVal12Mnths> contains the following **PriceValue5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C3	2462

76.1.29.45.5.2.1 Amount <Amt>

Presence: [1..1]

Definition: Price expressed as a currency and value.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.29.45.5.3 OneYearPriceChange <OneYrPricChng>

Presence: [0..1]

Definition: Change in price over a one year period.

Impacted by: C5 AmountAndOrRateRule, C6 AmountSignRule

OneYearPriceChange <OneYrPricChng> contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3	2463
	AmountSign <AmtSgn>	[0..1]	Indicator		2464
	Rate <Rate>	[0..1]	Rate		2464

Constraints

- **AmountAndOrRateRule**

(Rule)

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

(Rule)

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

76.1.29.45.5.3.1 Amount <Amt>

Presence: [0..1]

Definition: Amount by which the price has changed.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.29.45.5.3.2 AmountSign <AmtSgn>

Presence: [0..1]

Definition: Indicates a positive or negative amount change.

Datatype: One of the following values must be used (see [PlusOrMinusIndicator on page 3405](#)):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

76.1.29.45.5.3.3 Rate <Rate>

Presence: [0..1]

Definition: Rate by which the price has changed.

Datatype: [PercentageRate on page 3406](#)

76.1.29.45.5.4 ThreeYearPriceChange <ThreeYrPricChng>

Presence: [0..1]

Definition: Change in price over a three year period.

Impacted by: [C5 AmountAndOrRateRule](#), [C6 AmountSignRule](#)

ThreeYearPriceChange <ThreeYrPricChng> contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3	2465
	AmountSign <AmtSgn>	[0..1]	Indicator		2465
	Rate <Rate>	[0..1]	Rate		2465

Constraints

- **AmountAndOrRateRule**

(Rule)

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

(Rule)

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

76.1.29.45.5.4.1 Amount <Amt>

Presence: [0..1]

Definition: Amount by which the price has changed.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.29.45.5.4.2 AmountSign <AmtSgn>

Presence: [0..1]

Definition: Indicates a positive or negative amount change.

Datatype: One of the following values must be used (see PlusOrMinusIndicator on page 3405):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

76.1.29.45.5.4.3 Rate <Rate>

Presence: [0..1]

Definition: Rate by which the price has changed.

Datatype: PercentageRate on page 3406

76.1.29.45.5.5 FiveYearPriceChange <FiveYrPricChng>

Presence: [0..1]

Definition: Change in price over a five year period.

Impacted by: C5 AmountAndOrRateRule, C6 AmountSignRule

FiveYearPriceChange <FiveYrPricChng> contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3	2466
	AmountSign <AmtSgn>	[0..1]	Indicator		2466
	Rate <Rate>	[0..1]	Rate		2467

Constraints

- **AmountAndOrRateRule**

(Rule)

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

(Rule)

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

76.1.29.45.5.5.1 Amount <Amt>

Presence: [0..1]

Definition: Amount by which the price has changed.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.29.45.5.5.2 AmountSign <AmtSgn>

Presence: [0..1]

Definition: Indicates a positive or negative amount change.

Datatype: One of the following values must be used (see PlusOrMinusIndicator on page 3405):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

76.1.29.45.5.3 Rate <Rate>

Presence: [0..1]

Definition: Rate by which the price has changed.

Datatype: [PercentageRate](#) on page 3406

76.1.29.45.6 ByUserDefinedTimePeriod <ByUsrDfndTmPrd>

Presence: [0..*]

Definition: Information related to price variations, expressed using user-defined periods.

ByUserDefinedTimePeriod <ByUsrDfndTmPrd> contains the following **StatisticsByUserDefinedTimePeriod2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Period <Prd>	[1..1]	±		2467
	HighestPriceValue <HghstPricVal>	[0..1]			2467
	Amount <Amt>	[1..1]	Amount	C3	2468
	LowestPriceValue <LwstPricVal>	[0..1]			2468
	Amount <Amt>	[1..1]	Amount	C3	2468
	PriceChange <PricChng>	[0..1]		C5, C6	2469
	Amount <Amt>	[0..1]	Amount	C3	2469
	AmountSign <AmtSgn>	[0..1]	Indicator		2470
	Rate <Rate>	[0..1]	Rate		2470
	Yield <Yld>	[0..1]	Rate		2470

76.1.29.45.6.1 Period <Prd>

Presence: [1..1]

Definition: Reference period for the valuation.

Period <Prd> contains one of the following elements (see [DateOrDateTimePeriodChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		1828
Or}	DateTime <DtTm>	[1..1]	±		1828

76.1.29.45.6.2 HighestPriceValue <HghstPricVal>

Presence: [0..1]

Definition: Highest price for the referenced period.

HighestPriceValue <HghstPricVal> contains the following **PriceValue5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C3	2468

76.1.29.45.6.2.1 Amount <Amt>

Presence: [1..1]

Definition: Price expressed as a currency and value.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.29.45.6.3 LowestPriceValue <LwstPricVal>

Presence: [0..1]

Definition: Lowest price for the referenced period.

LowestPriceValue <LwstPricVal> contains the following **PriceValue5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C3	2468

76.1.29.45.6.3.1 Amount <Amt>

Presence: [1..1]

Definition: Price expressed as a currency and value.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.29.45.6.4 PriceChange <PricChng>

Presence: [0..1]

Definition: Change in price since the previous valuation date.

Impacted by: C5 AmountAndOrRateRule, C6 AmountSignRule

PriceChange <PricChng> contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3	2469
	AmountSign <AmtSgn>	[0..1]	Indicator		2470
	Rate <Rate>	[0..1]	Rate		2470

Constraints

- **AmountAndOrRateRule**

(Rule)

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

(Rule)

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

76.1.29.45.6.4.1 Amount <Amt>

Presence: [0..1]

Definition: Amount by which the price has changed.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.29.45.6.4.2 AmountSign <AmtSgn>

Presence: [0..1]

Definition: Indicates a positive or negative amount change.

Datatype: One of the following values must be used (see [PlusOrMinusIndicator on page 3405](#)):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

76.1.29.45.6.4.3 Rate <Rate>

Presence: [0..1]

Definition: Rate by which the price has changed.

Datatype: [PercentageRate on page 3406](#)

76.1.29.45.6.5 Yield <Yld>

Presence: [0..1]

Definition: Rate of income from the financial instrument, usually calculated as total dividends or coupon interest available to investors in the last year, divided by the current price.

Datatype: [PercentageRate on page 3406](#)

76.1.29.46 UpdateType4Choice

Definition: Choice of format for the update information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2470
Or}	Proprietary <Prtry>	[1..1]	±		2471

76.1.29.46.1 Code <Cd>

Presence: [1..1]

Definition: Update type expressed in coded form.

Datatype: [StatementUpdateType1Code on page 3358](#)

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

76.1.29.46.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Update type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 2012 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.29.47 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		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

76.1.29.47.1 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 3409

76.1.29.47.2 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.

76.1.29.48 Pagination

Definition: Number used to sequence pages when it is not possible for data to be conveyed in a single message and the data has to be split across several pages (messages).

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		2472
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		2472

76.1.29.48.1 PageNumber <PgNb>

Presence: [1..1]

Definition: Page number.

Datatype: [Max5NumericText on page 3410](#)

76.1.29.48.2 LastPageIndicator <LastPgInd>

Presence: [1..1]

Definition: Indicates the last page.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.29.49 Number3Choice

Definition: Choice of 3 and 5 exact numeric number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Short <Shrt>	[1..1]	Text		2472
Or}	Long <Lng>	[1..1]	Text		2472

76.1.29.49.1 Short <Shrt>

Presence: [1..1]

Definition: Number of maximum 3 numeric text.

Datatype: [Exact3NumericText on page 3406](#)

76.1.29.49.2 Long <Lng>

Presence: [1..1]

Definition: Number of maximum 5 numeric text. Is only to be used in a delta statement.

Datatype: [Exact5NumericText on page 3407](#)

76.1.29.50 Extension1

Definition: Additional information that can not be captured in the structured fields and/or any other specific block.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		2473
	Text <Txt>	[1..1]	Text		2473

Constraints

- **ExtensionRule**

(Rule)

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

76.1.29.50.1 PlaceAndName <PlcAndNm>

Presence: [1..1]

Definition: Name qualifying the information provided in the Text field, and place where this information should be inserted.

Datatype: Max350Text on page 3409

76.1.29.50.2 Text <Txt>

Presence: [1..1]

Definition: Text of the extension.

Datatype: Max350Text on page 3409

76.1.30 Organisation Identification

76.1.30.1 PartyIdentification1Choice

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2473
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2474
Or}	NameAndAddress <NmAndAdr>	[1..1]			2474
	Name <Nm>	[1..1]	Text		2474
	Address <Adr>	[0..1]	±		2474

76.1.30.1.1 BICOrBEI <BICOrBEI>

Presence: [1..1]

Definition: Unique and unambiguous identifier for an organisation that is allocated by an institution.

Impacted by: C7 AnyBIC

Datatype: AnyBICIdentifier on page 3392

Constraints

• **AnyBIC**

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.30.1.2 ProprietaryIdentification <Prtryld>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <Prtryld> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.30.1.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name by which a party is known and which is usually used to identify that party.

NameAndAddress <NmAndAdr> contains the following **NameAndAddress2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2474
	Address <Adr>	[0..1]	±		2474

76.1.30.1.3.1 Name <Nm>

Presence: [1..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: [Max35Text](#) on page 3409

76.1.30.1.3.2 Address <Adr>

Presence: [0..1]

Definition: Information that locates and identifies a specific address, as defined by postal services.

Address <Adr> contains one of the following elements (see [LongPostalAddress1Choice](#) on page 2820 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unstructured <Ustrd>	[1..1]	Text		2820
Or}	Structured <Strd>	[1..1]	±	C14	2820

76.1.30.2 Organisation40

Definition: Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2476
	ShortName <ShrtNm>	[0..1]	Text		2476
	Identification <Id>	[0..1]			2476
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2476
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2477
	LegalEntityIdentifier <LglnNtyldr>	[0..1]	IdentifierSet		2477
	Purpose <Purp>	[0..1]	Text		2477
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2477
	RegistrationDate <RegnDt>	[0..1]	Date		2478
	ModifiedPostalAddress <ModfdPstlAdr>	[0..*]			2478
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		2478
	PostalAddress <PstlAdr>	[1..1]	±	C23	2478
	TypeOfOrganisation <TpOfOrg>	[0..1]			2479
{Or	Code <Cd>	[1..1]	CodeSet		2480
Or}	Proprietary <Prtry>	[1..1]	±		2480
	PlaceOfListing <PlcOfListg>	[0..*]	IdentifierSet		2480

Constraints

- **OrganisationElementRule**

(Rule)

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, ModifiedPostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.30.2.1 Name <Nm>

Presence: [0..1]

Definition: Name by which the organisation is known and which is usually used to identify that organisation.

Datatype: [Max350Text on page 3409](#)

76.1.30.2.2 ShortName <ShrtNm>

Presence: [0..1]

Definition: Name of the organisation in short form.

Datatype: [Max35Text on page 3409](#)

76.1.30.2.3 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the organisation.

Identification <Id> contains one of the following **PartyIdentification177Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2476
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2477

76.1.30.2.3.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: [C1 AnyBIC](#)

Datatype: [AnyBICDec2014Identifier on page 3392](#)

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.30.2.3.2 ProprietaryIdentification <Prtryld>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <Prtryld> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.30.2.4 LegalEntityIdentifier <LglnTtyldr>

Presence: [0..1]

Definition: Identification of the organisation with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Datatype: [LEIIdentifier](#) on page 3400

76.1.30.2.5 Purpose <Purp>

Presence: [0..1]

Definition: Purpose of the organisation, for example, charity.

Datatype: [Max35Text](#) on page 3409

76.1.30.2.6 RegistrationCountry <RegnCtry>

Presence: [0..1]

Definition: Country in which the organisation is registered.

Impacted by: [C11 Country](#)

Datatype: [CountryCode](#) on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.30.2.7 RegistrationDate <RegnDt>

Presence: [0..1]

Definition: Date and time at which a given organisation was officially registered.

Datatype: [ISODate on page 3391](#)

76.1.30.2.8 ModifiedPostalAddress <ModfdPstlAdr>

Presence: [0..*]

Definition: Information related to an address to be inserted, updated or deleted.

ModifiedPostalAddress <ModfdPstlAdr> contains the following **ModificationScope34** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2478
	PostalAddress <PstlAdr>	[1..1]	±	C23	2478

76.1.30.2.8.1 ModificationScopeIndication <ModScplIndctn>

Presence: [1..1]

Definition: Specifies the type of modification to be applied on a set of information.

Datatype: [DataModification1Code on page 3270](#)

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.1.30.2.8.2 PostalAddress <PstlAdr>

Presence: [1..1]

Definition: Address of the organisation.

Impacted by: [C23 MailingIndicatorRule](#)

PostalAddress <PstIAdr> contains the following elements (see [PostalAddress21](#) on page 2821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2822
{Or	Code <Cd>	[1..1]	CodeSet		2823
Or}	Proprietary <Prtry>	[1..1]	±		2823
	MailingIndicator <MInglnd>	[0..1]	Indicator		2823
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2823
	CareOf <CareOf>	[0..1]	Text		2824
	AddressLine <AdrLine>	[0..5]	Text		2824
	StreetName <StrtNm>	[0..1]	Text		2824
	BuildingNumber <BldgNb>	[0..1]	Text		2824
	BuildingName <BldgNm>	[0..1]	Text		2824
	PostBox <PstBx>	[0..1]	Text		2824
	SideInBuilding <SdlnBldg>	[0..1]	Text		2824
	Floor <Flr>	[0..1]	Text		2824
	SuiteIdentification <Suiteld>	[0..1]	Text		2825
	PostCode <PstCd>	[0..1]	Text		2825
	DistrictName <DstrctNm>	[0..1]	Text		2825
	Village <Vllg>	[0..1]	Text		2825
	TownName <TwnNm>	[0..1]	Text		2825
	State <Stat>	[0..1]	Text		2825
	Country <Ctry>	[1..1]	CodeSet	C11	2825

Constraints

- **MailingIndicatorRule**

(Rule)

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

76.1.30.2.9 TypeOfOrganisation <TpOfOrg>

Presence: [0..1]

Definition: Type of organisation.

TypeOfOrganisation <TpOfOrg> contains one of the following **OrganisationType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2480
Or}	Proprietary <Prtry>	[1..1]	±		2480

76.1.30.2.9.1 Code <Cd>

Presence: [1..1]

Definition: Type of organisation expressed as a code.

Datatype: [OrganisationType1Code on page 3319](#)

CodeName	Name	Definition
IFUN	InvestmentFund	Organisation is an investment fund.
PRIV	PrivateAssociation	Organisation is a private association.
PUBL	Public	Organisation is a public company.
PFUN	PublicFund	Organisation is a public fund.

76.1.30.2.9.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of organisation expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.30.2.10 PlaceOfListing <PlcOfListg>

Presence: [0..*]

Definition: Place of listing for shares in the organisation.

Datatype: [MICIdentifier on page 3401](#)

76.1.30.3 PartyIdentification220

Definition: Identification of a person or an organisation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			2481
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2482
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2482
Or	NameAndAddress <NmAndAdr>	[1..1]			2483
	Name <Nm>	[1..1]	Text		2483
	PostalAddress <PstlAdr>	[0..1]	±	C23	2483
Or	TaxIdentificationNumber <TaxIdNb>	[1..1]	Text		2484
Or}	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		2484
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2485

Constraints

• **OrganisationIdentificationRule**

(Rule)

Either Identification or Legal Entity Identifier must be present. Both Identification and Legal Entity Identifier may be present.

Following Must be True

 /Identification Must be present

 Or /LegalEntityIdentifier Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00380
- *Error Text:* Identification or Legal Entity Identifier must be present.

76.1.30.3.1 Identification <Id>

Presence: [0..1]

Definition: Identification of the organisation.

Identification <Id> contains one of the following **PartyIdentification182Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2482
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2482
Or	NameAndAddress <NmAndAdr>	[1..1]			2483
	Name <Nm>	[1..1]	Text		2483
	PostalAddress <PstlAdr>	[0..1]	±	C23	2483
Or	TaxIdentificationNumber <TaxIdNb>	[1..1]	Text		2484
Or}	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		2484

76.1.30.3.1.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Identification of the party expressed as a BIC.

Impacted by: C1 AnyBIC

Datatype: AnyBICDec2014Identifier on page 3392

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.30.3.1.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see [GenericIdentification1 on page 2021](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.30.3.1.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following **NameAndAddress15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2483
	PostalAddress <PstlAdr>	[0..1]	±	C23	2483

76.1.30.3.1.3.1 Name <Nm>

Presence: [1..1]

Definition: Name by which the party is known and which is usually used to identify that party.

Datatype: Max350Text on page 3409

76.1.30.3.1.3.2 PostalAddress <PstlAdr>

Presence: [0..1]

Definition: Postal address of the party.

Impacted by: C23 MailingIndicatorRule

PostalAddress <PstIAdr> contains the following elements (see [PostalAddress21](#) on page 2821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2822
{Or	Code <Cd>	[1..1]	CodeSet		2823
Or}	Proprietary <Prtry>	[1..1]	±		2823
	MailingIndicator <MInglnd>	[0..1]	Indicator		2823
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2823
	CareOf <CareOf>	[0..1]	Text		2824
	AddressLine <AdrLine>	[0..5]	Text		2824
	StreetName <StrtNm>	[0..1]	Text		2824
	BuildingNumber <BldgNb>	[0..1]	Text		2824
	BuildingName <BldgNm>	[0..1]	Text		2824
	PostBox <PstBx>	[0..1]	Text		2824
	SideInBuilding <SdInBldg>	[0..1]	Text		2824
	Floor <Flr>	[0..1]	Text		2824
	SuiteIdentification <SuiteId>	[0..1]	Text		2825
	PostCode <PstCd>	[0..1]	Text		2825
	DistrictName <DstrctNm>	[0..1]	Text		2825
	Village <Vllg>	[0..1]	Text		2825
	TownName <TwnNm>	[0..1]	Text		2825
	State <Stat>	[0..1]	Text		2825
	Country <Ctry>	[1..1]	CodeSet	C11	2825

Constraints

- **MailingIndicatorRule**

(Rule)

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

76.1.30.3.1.4 TaxIdentificationNumber <TaxIdNb>

Presence: [1..1]

Definition: Number assigned by a tax authority to an entity.

Datatype: [Max35Text](#) on page 3409

76.1.30.3.1.5 NationalRegistrationNumber <NtlRegnNb>

Presence: [1..1]

Definition: Number assigned by a national registration authority to an entity.

Datatype: [Max35Text on page 3409](#)

76.1.30.3.2 LegalEntityIdentifier <LgINttyldr>

Presence: [0..1]

Definition: Identification of the organisation with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Datatype: [LEIdentifier on page 3400](#)

76.1.30.4 Organisation39

Definition: Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2486
	ShortName <ShrtNm>	[0..1]	Text		2486
	Identification <Id>	[0..1]			2486
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2486
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2487
	LegalEntityIdentifier <LgINttyldr>	[0..1]	IdentifierSet		2487
	Purpose <Purp>	[0..1]	Text		2487
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2487
	RegistrationDate <RegnDt>	[0..1]	Date		2488
	PostalAddress <PstlAdr>	[0..10]	±	C23	2488
	TypeOfOrganisation <TpOfOrg>	[0..1]			2489
{Or	Code <Cd>	[1..1]	CodeSet		2489
Or}	Proprietary <Prtry>	[1..1]	±		2489
	PlaceOfListing <PlcOfListg>	[0..*]	IdentifierSet		2489

Constraints

- **OrganisationElementRule**

(Rule)

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, PostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*

– *Error Text:*

76.1.30.4.1 Name <Nm>

Presence: [0..1]

Definition: Name by which the organisation is known and which is usually used to identify that organisation.

Datatype: [Max350Text on page 3409](#)

76.1.30.4.2 ShortName <ShrtNm>

Presence: [0..1]

Definition: Name of the organisation in short form.

Datatype: [Max35Text on page 3409](#)

76.1.30.4.3 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the organisation.

Identification <Id> contains one of the following **PartyIdentification177Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2486
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2487

76.1.30.4.3.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: [C1 AnyBIC](#)

Datatype: [AnyBICDec2014Identifier on page 3392](#)

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008

– *Error Text:* Invalid BIC.

76.1.30.4.3.2 ProprietaryIdentification <Prtryld>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <Prtryld> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.30.4.4 LegalEntityIdentifier <LglnTtyldr>

Presence: [0..1]

Definition: Identification of the organisation with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Datatype: [LEIIdentifier](#) on page 3400

76.1.30.4.5 Purpose <Purp>

Presence: [0..1]

Definition: Purpose of the organisation, for example, charity.

Datatype: [Max35Text](#) on page 3409

76.1.30.4.6 RegistrationCountry <RegnCtry>

Presence: [0..1]

Definition: Country in which the organisation is registered.

Impacted by: [C11 Country](#)

Datatype: [CountryCode](#) on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00004

– *Error Text:* Invalid Country Code.

76.1.30.4.7 RegistrationDate <RegnDt>

Presence: [0..1]

Definition: Date and time at which a given organisation was officially registered.

Datatype: [ISODate](#) on page 3391

76.1.30.4.8 PostalAddress <PstIAdr>

Presence: [0..10]

Definition: Information that locates and identifies a specific address, as defined by postal services.

Impacted by: [C23 MailingIndicatorRule](#)

PostalAddress <PstIAdr> contains the following elements (see [PostalAddress21](#) on page 2821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2822
{Or	Code <Cd>	[1..1]	CodeSet		2823
Or}	Proprietary <Prtry>	[1..1]	±		2823
	MailingIndicator <MIngInd>	[0..1]	Indicator		2823
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2823
	CareOf <CareOf>	[0..1]	Text		2824
	AddressLine <AdrLine>	[0..5]	Text		2824
	StreetName <StrtNm>	[0..1]	Text		2824
	BuildingNumber <BldgNb>	[0..1]	Text		2824
	BuildingName <BldgNm>	[0..1]	Text		2824
	PostBox <PstBx>	[0..1]	Text		2824
	SideInBuilding <SdInBldg>	[0..1]	Text		2824
	Floor <Flr>	[0..1]	Text		2824
	SuiteIdentification <Suiteld>	[0..1]	Text		2825
	PostCode <PstCd>	[0..1]	Text		2825
	DistrictName <DstrctNm>	[0..1]	Text		2825
	Village <Vllg>	[0..1]	Text		2825
	TownName <TwnNm>	[0..1]	Text		2825
	State <Stat>	[0..1]	Text		2825
	Country <Ctry>	[1..1]	CodeSet	C11	2825

Constraints

- **MailingIndicatorRule**

(Rule)

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

76.1.30.4.9 TypeOfOrganisation <TpOfOrg>

Presence: [0..1]

Definition: Type of organisation.

TypeOfOrganisation <TpOfOrg> contains one of the following **OrganisationType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2489
Or}	Proprietary <Prtry>	[1..1]	±		2489

76.1.30.4.9.1 Code <Cd>

Presence: [1..1]

Definition: Type of organisation expressed as a code.

Datatype: [OrganisationType1Code on page 3319](#)

CodeName	Name	Definition
IFUN	InvestmentFund	Organisation is an investment fund.
PRIV	PrivateAssociation	Organisation is a private association.
PUBL	Public	Organisation is a public company.
PFUN	PublicFund	Organisation is a public fund.

76.1.30.4.9.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of organisation expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.30.4.10 PlaceOfListing <PlcOfListg>

Presence: [0..*]

Definition: Place of listing for shares in the organisation.

Datatype: [MICIdentifier on page 3401](#)

76.1.30.5 Organisation36

Definition: Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2490
	Identification <Id>	[0..1]	±		2490
	Purpose <Purp>	[0..1]	Text		2490
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	2490
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	2491
	RegistrationDate <RegnDt>	[0..1]	Date		2491
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		2491
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		2491
	CorporateInvestorAddress <CorpInvstrAdr>	[1..1]	±		2492

76.1.30.5.1 Name <Nm>

Presence: [1..1]

Definition: Name by which the party is known and which is usually used to identify that party.

Datatype: [Max140Text on page 3407](#)

76.1.30.5.2 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the organisation.

Identification <Id> contains the following elements (see [PartyIdentification140 on page 2618](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2618
	LEI <LEI>	[0..1]	IdentifierSet		2618

76.1.30.5.3 Purpose <Purp>

Presence: [0..1]

Definition: Purpose of the organisation, for example, charity.

Datatype: [Max35Text on page 3409](#)

76.1.30.5.4 TaxationCountry <TaxtnCtry>

Presence: [0..1]

Definition: Country of taxation of the organisation.

Impacted by: [C11 Country](#)

Datatype: [CountryCode on page 3267](#)

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.30.5.5 RegistrationCountry <RegnCtry>

Presence: [0..1]

Definition: Country in which the organisation is registered.

Impacted by: [C11 Country](#)

Datatype: [CountryCode on page 3267](#)

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.30.5.6 RegistrationDate <RegnDt>

Presence: [0..1]

Definition: Date and time at which the organisation was officially registered.

Datatype: [ISODate on page 3391](#)

76.1.30.5.7 TaxIdentificationNumber <TaxIdNb>

Presence: [0..1]

Definition: Number assigned by a tax authority to the organisation.

Datatype: [Max35Text on page 3409](#)

76.1.30.5.8 NationalRegistrationNumber <NtlRegnNb>

Presence: [0..1]

Definition: Number assigned by a national registration authority to the organisation.

Datatype: [Max35Text on page 3409](#)

76.1.30.5.9 CorporateInvestorAddress <CorplnvstrAdr>

Presence: [1..1]

Definition: Postal address of the organisation.

CorporateInvestorAddress <CorplnvstrAdr> contains the following elements (see [PostalAddress1 on page 2830](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2830
	AddressLine <AdrLine>	[0..5]	Text		2830
	StreetName <StrtNm>	[0..1]	Text		2831
	BuildingNumber <BldgNb>	[0..1]	Text		2831
	PostCode <PstCd>	[0..1]	Text		2831
	TownName <TwnNm>	[0..1]	Text		2831
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2831
	Country <Ctry>	[1..1]	CodeSet	C11	2831

76.1.30.6 PartyIdentification3

Definition: Unique and unambiguous way to identify an organisation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2492

76.1.30.6.1 BICOrBEI <BICOrBEI>

Presence: [1..1]

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: [C7 AnyBIC](#)

Datatype: [AnyBICIdentifier on page 3392](#)

Constraints

- **AnyBIC**

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.30.7 PartyIdentification2Choice

Definition: Choice of identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.30.7.1 BICOrBEI <BICOrBEI>

Presence: [1..1]

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: C7 AnyBIC

Datatype: AnyBICIdentifier on page 3392

Constraints

- **AnyBIC**

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.30.7.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.30.7.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.31 Party Identification

76.1.31.1 Intermediary11

Definition: Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2494
	Account <Acct>	[0..1]	±		2495
{Or	Role <Role>	[0..1]	CodeSet		2495
Or}	ExtendedRole <XtndedRole>	[0..1]	Text		2496

76.1.31.1.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of the intermediary.

Identification <Id> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.31.1.2 Account <Acct>

Presence: [0..1]

Definition: Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Account <Acct> contains the following elements (see [Account7](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1609
	AccountServicer <AcctSvcr>	[0..1]	±		1609

76.1.31.1.3 Role <Role>

Presence: [0..1]

Warning Either Role or ExtendedRole may be present, but not both.

Definition: Function performed by the intermediary.

Datatype: [InvestmentFundRole2Code](#) on page 3302

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment

CodeName	Name	Definition
		orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

76.1.31.1.4 ExtendedRole <XtndedRole>

Presence: [0..1]

Warning Either Role or ExtendedRole may be present, but not both.

Definition: Function performed by the intermediary.

Datatype: [Extended350Code on page 3407](#)

76.1.31.2 Intermediary48

Definition: Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2497
	Account <Acct>	[0..1]			2497
	AccountIdentification <AcctId>	[0..1]	Text		2498
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2498
	AccountName <AcctNm>	[0..1]	Text		2498
	AccountServicer <AcctSvcr>	[1..1]	±		2498
	RegistrationAddress <RegnAdr>	[0..1]	±		2499
	Role <Role>	[0..1]			2499
{Or	Code <Cd>	[1..1]	CodeSet		2499
Or}	Proprietary <Prtry>	[1..1]	±		2501
	ContactPerson <CtctPrsn>	[0..1]	±		2501

76.1.31.2.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of the intermediary or a party related to the transfer.

Identification <Id> contains the following elements (see [PartyIdentification132](#) on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

76.1.31.2.2 Account <Acct>

Presence: [0..1]

Definition: Identification of the account.

Account <Acct> contains the following **Account34** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2498
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2498
	AccountName <AcctNm>	[0..1]	Text		2498
	AccountServicer <AcctSvcr>	[1..1]	±		2498
	RegistrationAddress <RegnAdr>	[0..1]	±		2499

76.1.31.2.2.1 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text on page 3409](#)

76.1.31.2.2.2 AccountDesignation <AcctDsgnt>

Presence: [0..1]

Definition: Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: [Max35Text on page 3409](#)

76.1.31.2.2.3 AccountName <AcctNm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text on page 3409](#)

76.1.31.2.2.4 AccountServicer <AcctSvcr>

Presence: [1..1]

Definition: Institution that maintains the records where the account is held.

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification132 on page 2602](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

76.1.31.2.2.5 RegistrationAddress <RegnAdr>

Presence: [0..1]

Definition: Address of the nominee company that holds the assets at the transfer agent or International Central Securities Depository or Central Securities Depository on behalf of the party.

RegistrationAddress <RegnAdr> contains the following elements (see [PostalAddress1](#) on page 2830 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2830
	AddressLine <AdrLine>	[0..5]	Text		2830
	StreetName <StrtNm>	[0..1]	Text		2831
	BuildingNumber <BldgNb>	[0..1]	Text		2831
	PostCode <PstCd>	[0..1]	Text		2831
	TownName <TwnNm>	[0..1]	Text		2831
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2831
	Country <Ctry>	[1..1]	CodeSet	C11	2831

76.1.31.2.3 Role <Role>

Presence: [0..1]

Definition: Function performed by the intermediary or related party.

Role <Role> contains one of the following **Role8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2499
Or}	Proprietary <Prtry>	[1..1]	±		2501

76.1.31.2.3.1 Code <Cd>

Presence: [1..1]

Definition: Role of the party in the activity expressed as a code.

Datatype: [InvestmentFundRole8Code](#) on page 3308

CodeName	Name	Definition
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
DIST	Distributor	Party that act as an wholesaler of funds.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.

CodeName	Name	Definition
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in accordance with net flow of capital into or out of the fund.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.

CodeName	Name	Definition
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
DATP	DataProvider	Source of financial information. Provides financial news and data (for example, facts, statistics and analysis), for professional and individual investors through various media, for example, the Internet, magazines.

76.1.31.2.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Role of the party in the activity expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.31.2.4 ContactPerson <CtctPrsn>

Presence: [0..1]

Definition: Contact person and contact information.

ContactPerson <CtctPrsn> contains the following elements (see [ContactIdentification2 on page 2816](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2817
	GivenName <GvnNm>	[0..1]	Text		2817
	Name <Nm>	[1..1]	Text		2817
	PhoneNumber <PhneNb>	[0..1]	Text		2817
	MobileNumber <MobNb>	[0..1]	Text		2817
	FaxNumber <FaxNb>	[0..1]	Text		2818
	EmailAddress <EmailAdr>	[0..1]	Text		2818

76.1.31.3 ContactAttributes6

Definition: Communication device number or address used for communication.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2502
	PostalAddress <PstlAdr>	[0..1]	±		2502
	PhoneNumber <PhneNb>	[0..1]	Text		2502
	FaxNumber <FaxNb>	[0..1]	Text		2503
	EmailAddress <EmailAdr>	[0..1]	Text		2503
	URLAddress <URLAdr>	[0..1]	Text		2503
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2503
	LEI <LEI>	[0..1]	IdentifierSet		2503

76.1.31.3.1 Name <Nm>

Presence: [0..1]

Definition: Name of the party.

Datatype: [Max350Text](#) on page 3409

76.1.31.3.2 PostalAddress <PstlAdr>

Presence: [0..1]

Definition: Address of the party.

PostalAddress <PstlAdr> contains the following elements (see [PostalAddress1](#) on page 2830 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2830
	AddressLine <AdrLine>	[0..5]	Text		2830
	StreetName <StrtNm>	[0..1]	Text		2831
	BuildingNumber <BldgNb>	[0..1]	Text		2831
	PostCode <PstCd>	[0..1]	Text		2831
	TownName <TwnNm>	[0..1]	Text		2831
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2831
	Country <Ctry>	[1..1]	CodeSet	C11	2831

76.1.31.3.3 PhoneNumber <PhneNb>

Presence: [0..1]

Definition: Phone number of the party.

Datatype: [PhoneNumber](#) on page 3410

76.1.31.3.4 FaxNumber <FaxNb>

Presence: [0..1]

Definition: Fax number of the party.

Datatype: [PhoneNumber on page 3410](#)

76.1.31.3.5 EmailAddress <EmailAdr>

Presence: [0..1]

Definition: Address for electronic mail (e-mail) for the party.

Datatype: [Max256Text on page 3408](#)

76.1.31.3.6 URLAddress <URLAdr>

Presence: [0..1]

Definition: Address for the Universal Resource Locator (URL), for example, used over the www (HTTP) service.

Datatype: [Max2048Text on page 3408](#)

76.1.31.3.7 AnyBIC <AnyBIC>

Presence: [0..1]

Definition: Identification of the party expressed as a BIC.

Impacted by: [C1 AnyBIC](#)

Datatype: [AnyBICDec2014Identifier on page 3392](#)

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.31.3.8 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIIdentifier on page 3400](#)

76.1.31.4 PartyTextInformation6

Definition: Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		2504
	PartyContactDetails <PtyCtctDtls>	[0..1]	Text		2504
	RegistrationDetails <RegnDtls>	[0..1]	Text		2504
	RegistrationAddress <RegnAdr>	[0..1]	±		2504

Constraints

- **AdditonalDetailsGuideline**

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

76.1.31.4.1 DeclarationDetails <DclrtnDtls>

Presence: [0..1]

Definition: Provides declaration details narrative relative to the party.

Datatype: Max350Text on page 3409

76.1.31.4.2 PartyContactDetails <PtyCtctDtls>

Presence: [0..1]

Definition: Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

Datatype: Max140Text on page 3407

76.1.31.4.3 RegistrationDetails <RegnDtls>

Presence: [0..1]

Definition: Provides information required for the registration.

Datatype: Max350Text on page 3409

76.1.31.4.4 RegistrationAddress <RegnAdr>

Presence: [0..1]

Definition: Address of the nominee company that holds the assets at the transfer agent or International Central Securities Depository or Central Securities Depository on behalf of the party.

RegistrationAddress <RegnAdr> contains the following elements (see [PostalAddress1](#) on page 2830 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2830
	AddressLine <AdrLine>	[0..5]	Text		2830
	StreetName <StrtNm>	[0..1]	Text		2831
	BuildingNumber <BldgNb>	[0..1]	Text		2831
	PostCode <PstCd>	[0..1]	Text		2831
	TownName <TwnNm>	[0..1]	Text		2831
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2831
	Country <Ctry>	[1..1]	CodeSet	C11	2831

76.1.31.5 PartyIdentificationAndAccount194

Definition: Party and account details.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2505
	LEI <LEI>	[0..1]	IdentifierSet		2506
	AlternateIdentification <AltrId>	[0..1]	±		2506
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		2506
	ProcessingDate <PrcgDt>	[0..1]	±		2506
	ProcessingIdentification <PrcgId>	[0..1]	Text		2506
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	2507

76.1.31.5.1 Identification <Id>

Presence: [1..1]

Definition: Identification of the party.

Identification <Id> contains one of the following elements (see [PartyIdentification123Choice](#) on page 2612 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2612
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2613
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2613

76.1.31.5.2 LEI <LEI>

Presence: [0..1]

Definition: Legal Entity Identification as an alternate identification for the party.

Datatype: [LEIIdentifier on page 3400](#)

76.1.31.5.3 AlternateIdentification <AltrnId>

Presence: [0..1]

Definition: Alternate identification for the party.

AlternateIdentification <AltrnId> contains the following elements (see [AlternatePartyIdentification7 on page 2628](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		2628
	Country <Ctry>	[1..1]	CodeSet	C11	2628
	AlternateIdentification <AltrnId>	[1..1]	Text		2629

76.1.31.5.4 SafekeepingAccount <SfkpgAcct>

Presence: [0..1]

Definition: Identification of the account owned by the party.

SafekeepingAccount <SfkpgAcct> contains the following elements (see [SecuritiesAccount19 on page 1587](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	Name <Nm>	[0..1]	Text		1587

76.1.31.5.5 ProcessingDate <PrcgDt>

Presence: [0..1]

Definition: Date/time at which the instruction was processed by the specified party.

ProcessingDate <PrcgDt> contains one of the following elements (see [DateAndDateTime2Choice on page 1825](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1826
Or}	DateTime <DtTm>	[1..1]	DateTime		1826

76.1.31.5.6 ProcessingIdentification <Prcgld>

Presence: [0..1]

Definition: Unambiguous identification of the transaction for the party identified.

Datatype: [Max35Text on page 3409](#)

76.1.31.5.7 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the party.

Impacted by: [C4 AdditonalDetailsGuideline](#)

AdditionalInformation <AddtlInf> contains the following elements (see [PartyTextInformation6 on page 2503](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		2504
	PartyContactDetails <PtyCtctDtls>	[0..1]	Text		2504
	RegistrationDetails <RegnDtls>	[0..1]	Text		2504
	RegistrationAddress <RegnAdr>	[0..1]	±		2504

Constraints

- **AdditonalDetailsGuideline**

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

76.1.31.6 AccountParties18

Definition: Information about a party's account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2509
	PrincipalAccountParty <PrncplAcctPty>	[0..1]			2509
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		2509
Or	Trustee <Trstee>	[1..5]	±		2512
Or	Nominee <Nmnee>	[1..1]	±		2514
Or}	JointOwner <JntOwnr>	[1..5]	±		2516
	SecondaryOwner <ScndryOwnr>	[0..*]	±		2518
	Beneficiary <Bnfcry>	[0..*]	±		2520
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		2522
	LegalGuardian <LglGuardn>	[0..*]	±		2524
	CustodianForMinor <CtdnForMnr>	[0..*]	±		2526
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		2528
	Administrator <Admstr>	[0..*]	±		2530
	OtherParty <OthrPty>	[0..*]	±		2532
	Granter <Grntr>	[0..*]	±		2532
	Settlor <Sttlr>	[0..*]	±		2535
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		2537
	Protector <Prctr>	[0..*]	±		2539
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		2541

Constraints

• **AddressRule**

(Rule)

If ModificationScopeIndication is INSE (InsertNewDataSet), then one of the following must be present:

PrincipalAccountParty/./Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

CustodianForMinor/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

SecondaryOwner/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

Beneficiary/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

PowerOfAttorney/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE
 (InsertNewDataSet)

LegalGuardian/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

SuccessorOnDeath/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE
 (InsertNewDataSet)

Administrator/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

OtherParty/OtherPartyDetails/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE
 (InsertNewDataSet)

Granter/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

Settlor/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

SeniorManagingOfficial/.ModifiedPostalAddress/ModificationScopeIndication/INSE
 (InsertNewDataSet)

Protector/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet).

76.1.31.6.1 ModificationScopeIndication <ModScplndctn>

Presence: [1..1]

Definition: Specifies the type of modification to be applied.

Datatype: [DataModification1Code](#) on page 3270

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.1.31.6.2 PrincipalAccountParty <PrncplAcctPty>

Presence: [0..1]

Definition: Main party associated with the account.

PrincipalAccountParty <PrncplAcctPty> contains one of the following **AccountParties13Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		2509
Or	Trustee <Trstee>	[1..5]	±		2512
Or	Nominee <Nmnee>	[1..1]	±		2514
Or}	JointOwner <JntOwnr>	[1..5]	±		2516

76.1.31.6.2.1 PrimaryOwner <PmryOwnr>

Presence: [1..1]

Definition: Single owner of the investment account or, when the ownership is split among several owners, the primary owner is the one giving its address and account details for the registration.

PrimaryOwner <PmryOwnr> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.2.2 Trustee <Trstee>

Presence: [1..5]

Definition: Legal owners of the property. However, the beneficiary has the equitable or beneficial ownership.

Trustee <Trstee> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.2.3 Nominee <Nmnee>

Presence: [1..1]

Definition: Entity named by the beneficial owner to act on its behalf, often to facilitate dealing, or to conceal the identity of the beneficiary.

Nominee <Nmnee> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.2.4 JointOwner <JntOwnr>

Presence: [1..5]

Definition: Co-owner of the investment account when the ownership is assigned to more than one party.

JointOwner <JntOwnr> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.3 SecondaryOwner <ScndryOwnr>

Presence: [0..*]

Definition: Entity that is not the primary owner when the ownership of the investment account is split among several owners.

SecondaryOwner <ScndryOwnr> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.4 Beneficiary <Bnfcry>

Presence: [0..*]

Definition: Ultimate party that is entitled to either receive the benefits of the ownership of a financial instrument, or to be paid/credited as a result of a transfer.

Beneficiary <Bnfcry> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.5 PowerOfAttorney <PwrOfAttny>

Presence: [0..*]

Definition: Entity that was given the authority by another entity to act on its behalf.

PowerOfAttorney <PwrOfAttny> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.6 LegalGuardian <LglGuardn>

Presence: [0..*]

Definition: Entity that has been appointed by a legal authority to act on behalf of a person judged to be incapacitated.

LegalGuardian <LglGuardn> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.7 CustodianForMinor <CtdnForMnr>

Presence: [0..*]

Definition: Entity that holds shares/units on behalf of a legal minor. Although the account is registered under the name of the minor, the custodian retains control of the account.

CustodianForMinor <CtdnForMnr> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.8 SuccessorOnDeath <SucssrOnDth>

Presence: [0..*]

Definition: Deceased's estate, or successor, to whom the respective percentage of ownership will be transferred upon the death of one of the owners.

SuccessorOnDeath <SucssrOnDth> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.9 Administrator <Admstr>

Presence: [0..*]

Definition: Entity that has been appointed by a legal authority to act on behalf of a person or organisation that has gone bankrupt.

Administrator <Admstr> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.10 OtherParty <OthrPty>

Presence: [0..*]

Definition: Other type of party.

OtherParty <OthrPty> contains the following elements (see [ExtendedParty15](#) on page 2576 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExtendedPartyRole <XtndedPtyRole>	[1..1]	Text		2576
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		2576

76.1.31.6.11 Granter <Grntr>

Presence: [0..*]

Definition: Granter role in the hedge funds industry.

Granter <Grntr> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.12 Settlor <Sttlr>

Presence: [0..*]

Definition: Entity that creates a trust or contributes assets to the trust.

Settlor <Sttlr> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.13 SeniorManagingOfficial <SnrMggOffcl>

Presence: [0..*]

Definition: Party that makes, or participates in the making of, decisions that affect the whole, or a substantial part, of the business of a customer of a reporting entity or that has the capacity to affect significantly the financial standing of a customer of a reporting entity. Typically, this is a controlling person of a corporate (ownership type CORP).

SeniorManagingOfficial <SnrMggOffcl> contains the following elements (see [InvestmentAccountOwnershipInformation17 on page 2076](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.14 Protector <Prtctr>

Presence: [0..*]

Definition: Person appointed under the trust instrument to direct or restrain the trustees in relation to their administration of the trust. Typically, this is a controlling person of a trust (ownership type TRUS) or other non-individual organisation (ownership type ONIS).

Protector <Prctr> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMIngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.6.15 RegisteredShareholderName <RegdShrhldrNm>

Presence: [0..1]

Definition: Party for which shares are to be registered.

RegisteredShareholderName <RegdShrhldrNm> contains one of the following elements (see RegisteredShareholderName1Choice on page 2631 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndividualPerson <IndvPrsn>	[1..1]			2632
	NamePrefix <NmPrfx>	[0..1]			2632
{Or	Code <Cd>	[1..1]	CodeSet		2633
Or}	Proprietary <Prtry>	[1..1]	±		2633
	GivenName <GvnNm>	[0..1]	Text		2633
	MiddleName <MddlNm>	[0..1]	Text		2633
	Name <Nm>	[1..1]	Text		2633
	PostalAddress <PstlAdr>	[1..5]	±	C23	2634
Or}	Organisation <Org>	[1..1]			2635
	Name <Nm>	[1..1]	Text		2635
	ShortName <ShrtNm>	[0..1]	Text		2635
	PostalAddress <PstlAdr>	[1..5]	±	C23	2635

76.1.31.7 AccountParties17

Definition: Information about a party's account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PrincipalAccountParty <PrncplAcctPty>	[1..1]			2543
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		2543
Or	Trustee <Trstee>	[1..5]	±		2545
Or	Nominee <Nmnee>	[1..1]	±		2547
Or}	JointOwner <JntOwnr>	[1..5]	±		2549
	SecondaryOwner <ScndryOwnr>	[0..*]	±		2551
	Beneficiary <Bnfcry>	[0..*]	±		2553
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		2555
	LegalGuardian <LglGuardn>	[0..*]	±		2557
	CustodianForMinor <CtdnForMnr>	[0..*]	±		2559
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		2561
	Administrator <Admstr>	[0..*]	±		2563
	OtherParty <OthrPty>	[0..*]	±		2565
	Granter <Grntr>	[0..*]	±		2565
	Settlor <Sttlr>	[0..*]	±		2567
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		2569
	Protector <Prctcr>	[0..*]	±		2571
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		2573

76.1.31.7.1 PrincipalAccountParty <PrncplAcctPty>

Presence: [1..1]

Definition: Main party associated with the account.

PrincipalAccountParty <PrncplAcctPty> contains one of the following **AccountParties12Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		2543
Or	Trustee <Trstee>	[1..5]	±		2545
Or	Nominee <Nmnee>	[1..1]	±		2547
Or}	JointOwner <JntOwnr>	[1..5]	±		2549

76.1.31.7.1.1 PrimaryOwner <PmryOwnr>

Presence: [1..1]

Definition: Single owner of the account or, when the ownership is split among several owners, the primary owner is the one giving its address and account details for the registration.

PrimaryOwner <PmryOwnr> contains the following elements (see [InvestmentAccountOwnershipInformation16 on page 2121](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLvl>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIXmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.1.2 Trustee <Trstee>

Presence: [1..5]

Definition: Legal owners of the property. However, the beneficiary has the equitable or beneficial ownership.

Trustee <Trstee> contains the following elements (see [InvestmentAccountOwnershipInformation16](#) on page 2121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLvl>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.1.3 Nominee <Nmnee>

Presence: [1..1]

Definition: Entity named by the beneficial owner to act on its behalf, often to facilitate dealing, or to conceal the identity of the beneficiary.

Nominee <Nmnee> contains the following elements (see [InvestmentAccountOwnershipInformation16](#) on page 2121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLvl>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.1.4 JointOwner <JntOwnr>

Presence: [1..5]

Definition: Co-owner of the investment account when the ownership is assigned to more than one party.

JointOwner <JntOwnr> contains the following elements (see [InvestmentAccountOwnershipInformation16](#) on page 2121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLvl>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.2 SecondaryOwner <ScndryOwnr>

Presence: [0..*]

Definition: Entity that is not the primary owner when the ownership of the investment account is split among several owners.

SecondaryOwner <ScndryOwnr> contains the following elements (see [InvestmentAccountOwnershipInformation16 on page 2121](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLvl>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.3 Beneficiary <Bnfcry>

Presence: [0..*]

Definition: Ultimate party that is entitled to either receive the benefits of the ownership of a financial instrument, or to be paid/credited as a result of a transfer.

Beneficiary <Bnfcry> contains the following elements (see [InvestmentAccountOwnershipInformation16](#) on page 2121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLv>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIXmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.4 PowerOfAttorney <PwrOfAttny>

Presence: [0..*]

Definition: Entity that was given the authority by another entity to act on its behalf.

PowerOfAttorney <PwrOfAttny> contains the following elements (see [InvestmentAccountOwnershipInformation16 on page 2121](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLvl>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.5 LegalGuardian <LglGuardn>

Presence: [0..*]

Definition: Entity that has been appointed by a legal authority to act on behalf of a person judged to be incapacitated.

LegalGuardian <LglGuardn> contains the following elements (see [InvestmentAccountOwnershipInformation16](#) on page 2121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLvl>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.6 CustodianForMinor <CtdnForMnr>

Presence: [0..*]

Definition: Entity that holds shares/units on behalf of a legal minor. Although the account is registered under the name of the minor, the custodian retains control of the account.

CustodianForMinor <CtdnForMnr> contains the following elements (see [InvestmentAccountOwnershipInformation16 on page 2121](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLvl>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.7 SuccessorOnDeath <SucssrOnDth>

Presence: [0..*]

Definition: Deceased's estate, or successor, to whom the respective percentage of ownership will be transferred upon the death of one of the owners.

SuccessorOnDeath <SucssrOnDth> contains the following elements (see [InvestmentAccountOwnershipInformation16 on page 2121](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLvl>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.8 Administrator <Admstr>

Presence: [0..*]

Definition: Entity that has been appointed by a legal authority to act on behalf of a person or organisation that has gone bankrupt.

Administrator <Admstr> contains the following elements (see [InvestmentAccountOwnershipInformation16](#) on page 2121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLvl>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.9 OtherParty <OthrPty>

Presence: [0..*]

Definition: Other type of party.

OtherParty <OthrPty> contains the following elements (see [ExtendedParty14](#) on page 2595 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExtendedPartyRole <XtndedPtyRole>	[1..1]	Text		2595
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		2595

76.1.31.7.10 Granter <Grntr>

Presence: [0..*]

Definition: Granter role in the hedge funds industry.

Granter <Grntr> contains the following elements (see [InvestmentAccountOwnershipInformation16](#) on page 2121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLvl>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.11 Settlor <Sttlr>

Presence: [0..*]

Definition: Entity that creates a trust or contributes assets to the trust.

Settlor <Sttlr> contains the following elements (see [InvestmentAccountOwnershipInformation16](#) on page 2121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLvl>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIXmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.12 SeniorManagingOfficial <SnrMggOffcl>

Presence: [0..*]

Definition: Party that makes, or participates in the making of, decisions that affect the whole, or a substantial part, of the business of a customer of a reporting entity or that has the capacity to affect significantly the financial standing of a customer of a reporting entity. Typically, this is a controlling person of a corporate (ownership type CORP).

SeniorManagingOfficial <SnrMggOffcl> contains the following elements (see [InvestmentAccountOwnershipInformation16 on page 2121](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLvl>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.13 Protector <Prtctr>

Presence: [0..*]

Definition: Person appointed under the trust instrument to direct or restrain the trustees in relation to their administration of the trust. Typically, this is a controlling person of a trust (ownership type TRUS) or other non-individual organisation (ownership type ONIS).

Protector <Prtctr> contains the following elements (see [InvestmentAccountOwnershipInformation16](#) on page 2121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLv>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.7.14 RegisteredShareholderName <RegdShrhldrNm>

Presence: [0..1]

Definition: Party that registers its name with the issuer and the name used for the registration.

RegisteredShareholderName <RegdShrhldrNm> contains one of the following elements (see [RegisteredShareholderName1Choice](#) on page 2631 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndividualPerson <IndvPrsn>	[1..1]			2632
	NamePrefix <NmPrfx>	[0..1]			2632
{Or	Code <Cd>	[1..1]	CodeSet		2633
Or}	Proprietary <Prtry>	[1..1]	±		2633
	GivenName <GvnNm>	[0..1]	Text		2633
	MiddleName <MddlNm>	[0..1]	Text		2633
	Name <Nm>	[1..1]	Text		2633
	PostalAddress <PstlAdr>	[1..5]	±	C23	2634
Or}	Organisation <Org>	[1..1]			2635
	Name <Nm>	[1..1]	Text		2635
	ShortName <ShrtNm>	[0..1]	Text		2635
	PostalAddress <PstlAdr>	[1..5]	±	C23	2635

76.1.31.8 ModificationScope43

Definition: Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScpIndctn>	[1..1]	CodeSet		2574
	Placement <Plcmnt>	[1..1]	±	C30	2574

76.1.31.8.1 ModificationScopeIndication <ModScpIndctn>

Presence: [1..1]

Definition: Specifies the type of modification to be applied.

Datatype: [DataModification1Code](#) on page 3270

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.1.31.8.2 Placement <Plcmnt>

Presence: [1..1]

Definition: Referral information.

Impacted by: [C30 ReferredPlacementAgentRule](#)

Placement <Plcmnt> contains the following elements (see [ReferredAgent3](#) on page 2594 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Referred <Rfrd>	[1..1]	CodeSet		2594
	ReferredPlacementAgent <RfrdPlcmntAgt>	[0..1]	±		2595

Constraints

- **ReferredPlacementAgentRule**

(Rule)

ReferredPlacementAgent may only be present if Referred is REFR (Referred).

76.1.31.9 ModificationScope40

Definition: Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2575
	Intermediary <Intrmy>	[1..1]	±		2575

76.1.31.9.1 ModificationScopeIndication <ModScplIndctn>

Presence: [1..1]

Definition: Type of modification to be applied.

Datatype: [DataModification1Code](#) on page 3270

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.1.31.9.2 Intermediary <Intrmy>

Presence: [1..1]

Definition: Intermediary or other party related to the management of the account.

Intermediary <Intrmy> contains the following elements (see [Intermediary46](#) on page 2597 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			2598
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2598
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2599
	LegalEntityIdentifier <LglnTtyldr>	[0..1]	IdentifierSet		2599
	Account <Acct>	[0..1]			2599
	Identification <Id>	[0..1]	Text		2599
	AccountServicer <AcctSvcr>	[1..1]	±		2599
	WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>	[0..1]	Indicator		2600
	Role <Role>	[0..1]	±		2600
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2600
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2601
	NameAndAddress <NmAndAdr>	[0..1]	±		2601

76.1.31.10 ExtendedParty15

Definition: Other type of party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExtendedPartyRole <XtndedPtyRole>	[1..1]	Text		2576
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		2576

76.1.31.10.1 ExtendedPartyRole <XtndedPtyRole>

Presence: [1..1]

Definition: Other type of party's role.

Datatype: [Extended350Code](#) on page 3407

76.1.31.10.2 OtherPartyDetails <OthrPtyDtls>

Presence: [1..1]

Definition: Detailed ownership information about a party.

OtherPartyDetails <OthrPtyDtIs> contains the following elements (see [InvestmentAccountOwnershipInformation17](#) on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2078
{Or	Organisation <Org>	[1..1]	±	C20	2078
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2079
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2081
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			2081
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2082
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			2082
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2083
	ValidatingParty <VldtngPty>	[0..1]	Text		2083
	CheckingParty <ChckngPty>	[0..1]	Text		2083
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2084
	CertificateType <CertTp>	[0..1]	±		2084
	CheckingDate <ChckngDt>	[0..1]	Date		2084
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2084
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2085
	SalaryRange <SlryRg>	[0..1]	Text		2085
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2085
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2085
	RiskLevel <RskLvl>	[0..1]	±		2085
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2085
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2086
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2086
	ClientIdentification <Clntld>	[0..1]	Text		2087
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2087
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2087
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2087
	Notification <Ntfctn>	[0..*]	±		2087
	FATCAFormType <FATCAFormTp>	[0..*]	±		2088
	FATCAStatus <FATCASts>	[0..*]	±		2088

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARrptgDt>	[0..1]	Date		2088
	CRSFormType <CRSFormTp>	[0..*]	±		2088
	CRSStatus <CRSSts>	[0..*]	±		2089
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2089
	OtherIdentification <OthrlId>	[0..*]	±		2089
	TaxExemption <TaxXmptn>	[0..1]	±		2090
	TaxReporting <TaxRptg>	[0..*]	±		2090
	Language <Lang>	[0..1]	CodeSet	C34	2091
	MailType <MailTp>	[0..1]	±		2092
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2092
	MonetaryWealth <MntryWlth>	[0..1]	±		2092
	EquityValue <EqtyVal>	[0..1]	±		2092
	WorkingCapital <WorkgCptl>	[0..1]	±		2093
	CompanyLink <CpnyLk>	[0..1]	±		2093
	ElectronicMailingServiceReference <ElctrncMIngSvcRef>	[0..1]	Text		2093
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2093
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2094
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2094
	AccountingStatus <AcctgSts>	[0..1]	±		2095
	AdditionalInformation <AddtlInf>	[0..*]	±		2095
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2096

76.1.31.11 Intermediary47

Definition: Identification of a party and its role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2579
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2579
	Account <Acct>	[0..1]			2579
	Identification <Id>	[0..1]	Text		2579
	AccountServicer <AcctSvcr>	[1..1]	±		2579

76.1.31.11.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier for an organisation that is allocated by an institution.

Identification <Id> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.31.11.2 LegalEntityIdentifier <LglnTtyldr>

Presence: [0..1]

Definition: Identification of the party with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Datatype: [LEIIdentifier](#) on page 3400

76.1.31.11.3 Account <Acct>

Presence: [0..1]

Definition: Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Account <Acct> contains the following **Account32** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2579
	AccountServicer <AcctSvcr>	[1..1]	±		2579

76.1.31.11.3.1 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text](#) on page 3409

76.1.31.11.3.2 AccountServicer <AcctSvcr>

Presence: [1..1]

Definition: Institution servicing an account and assigning the account identifier to the account owner.

AccountServicer <AcctSvcr> contains one of the following elements (see [PartyIdentification125Choice on page 2618](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.31.12 RegulatoryInformation1

Definition: Regulatory information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Sector <Sctr>	[0..1]	Text		2580
	Branch <Brnch>	[0..1]	Text		2580
	Group <Grp>	[0..1]	Text		2580
	Other <Othr>	[0..1]	Text		2580

76.1.31.12.1 Sector <Sctr>

Presence: [0..1]

Definition: Sector of economic activity, for example, SAE in the Italian market.

Datatype: [Max35Text on page 3409](#)

76.1.31.12.2 Branch <Brnch>

Presence: [0..1]

Definition: Branch of economic activity, for example, RAE in the Italian market.

Datatype: [Max35Text on page 3409](#)

76.1.31.12.3 Group <Grp>

Presence: [0..1]

Definition: Group of economic activity, for example, a code issued by a regulator.

Datatype: [Max35Text on page 3409](#)

76.1.31.12.4 Other <Othr>

Presence: [0..1]

Definition: Other regulatory information.

Datatype: [Max35Text on page 3409](#)

76.1.31.13 CompanyLink1Choice

Definition: Choice of formats for the trading party or broker.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2581
Or}	Proprietary <Prtry>	[1..1]	±		2581

76.1.31.13.1 Code <Cd>

Presence: [1..1]

Definition: Company link expressed as a code.

Datatype: [CompanyLink1Code](#) on page 3260

CodeName	Name	Definition
AGEN	Agent	Autonomous agent accredited by the broker.
BROK	Broker	Employee, operator or agent of the broker.
PART	BrokeragePartner	Brokerage partner or shareholder, individual or entity who holds a direct or an indirect control function and the holder of a management or an administration position.
MEMB	MemberBroker	Member broker of a financial conglomerate (person is a board member, director, officer and employee of a member company of the conglomerate).
PCOM	ParentCompany	Parent company of the broker.
RELA	Relative	Spouse or partner and child of an employee, operator or agent of the broker; agent of the broker; brokerage partners or shareholders; individual or entity who holds a direct or an indirect control function and the holder of a management or an administration position.

76.1.31.13.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Company link expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.31.14 CountryAndResidentialStatusType2

Definition: Country and residential status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2582
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		2582

76.1.31.14.1 Country <Ctry>

Presence: [1..1]

Definition: Country to which the residential status is applicable.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.31.14.2 ResidentialStatus <ResdtlSts>

Presence: [1..1]

Definition: Residential status of the organisation or individual, for example, non-permanent resident.

Datatype: ResidentialStatus1Code on page 3346

CodeName	Name	Definition
RESI	Resident	Resident.
PRES	PermanentResident	Permanent resident.
NRES	NonResident	Non-resident.

76.1.31.15 MailType1Choice

Definition: Choice of formats for the type of mail.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2583
Or}	Proprietary <Prtry>	[1..1]	±		2583

76.1.31.15.1 Code <Cd>

Presence: [1..1]

Definition: Mail type expressed as a code.

Datatype: MailType1Code on page 3314

CodeName	Name	Definition
AIRM	AirMail	Air mail.
ORDM	OrdinaryMail	Ordinary mail.
REGM	RegisteredMail	Registered Mail.

76.1.31.15.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Mail type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.31.16 CRSStatus4

Definition: Common Reporting Standard (CRS) status information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2583
{Or	Code <Cd>	[1..1]	CodeSet		2584
Or}	Proprietary <Prtry>	[1..1]	±		2585
	Source <Src>	[0..1]			2585
{Or	Code <Cd>	[1..1]	CodeSet		2585
Or}	Proprietary <Prtry>	[1..1]	±		2586
	ExceptionalReportingCountry <XcptnlRptgCtry>	[0..1]	CodeSet	C11	2586

76.1.31.16.1 Type <Tp>

Presence: [1..1]

Definition: Common Reporting Standard (CRS) status.

Type <Tp> contains one of the following **CRSStatus3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2584
Or}	Proprietary <Prtry>	[1..1]	±		2585

76.1.31.16.1.1 Code <Cd>

Presence: [1..1]

Definition: Common Reporting Standard (CRS) status expressed as a code.

Datatype: [CRSStatus1Code on page 3268](#)

CodeName	Name	Definition
C101	CRS101	Account holder type is a passive non-financial entity with one or more controlling persons that are foreign persons.
C102	CRS102	Account holder type is a foreign person.
C103	CRS103	Account holder type is a passive foreign non-financial entity without controlling persons that are foreign persons.
C104	CRS104	Account holder type is a financial institution such as a depository, a custodial institution or a specified insurance company.
C105	CRS105	Account holder type is a financial institution such as an investment entity of a non-participating jurisdiction and managed by another financial institution without one or more controlling persons that are foreign persons.
C106	CRS106	Account holder type is a financial institution such as an investment entity of a non-participating jurisdiction and managed by another financial institution with one or more controlling persons that are foreign persons.
C107	CRS107	Account holder type is a financial institution such as another investment entity.
C108	CRS108	Account holder type is an active non-financial entity such as a corporation for which the stock is regularly traded on an established securities market.
C109	CRS109	Account holder type is an active non-financial entity such as a corporation which is a related entity of a corporation for which the stock is regularly traded on an established securities market.
C110	CRS110	Account holder type is an active non-financial entity such as a government entity.

CodeName	Name	Definition
C111	CRS111	Account holder type is an active non-financial entity such as a central bank.
C112	CRS112	Account holder type is an active non-financial entity such as an international organisation.
C113	CRS113	Account holder type is not a foreign person.
C114	CRS114	Account holder type is a financial institution such as an investment entity of a participating jurisdiction and managed by another financial institution.

76.1.31.16.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Common Reporting Standard (CRS) status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.31.16.2 Source <Src>

Presence: [0..1]

Definition: Source of the Common Reporting Standard (CRS) status.

Source <Src> contains one of the following **CRSSource1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2585
Or}	Proprietary <Prtry>	[1..1]	±		2586

76.1.31.16.2.1 Code <Cd>

Presence: [1..1]

Definition: Source of the Common Reporting Standard (CRS) status expressed as a code.

Datatype: [CRSSourceStatus1Code](#) on page 3268

CodeName	Name	Definition
CALC	Calculated	Source of the Common Reporting Standard (CRS) status is calculated.
DECL	Declared	Source of the Common Reporting Standard (CRS) status is as declared by the investor.

76.1.31.16.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Source of Common Reporting Standard (CRS) status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.31.16.3 ExceptionalReportingCountry <XcptnIRptgCtry>

Presence: [0..1]

Definition: Reporting country for the CRS status when there is an exception at the country level.

Impacted by: [C11 Country](#)

Datatype: [CountryCode](#) on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.31.17 CRSForm1Choice

Definition: Choice of formats for the type of Common Reporting Standard (CRS) form.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2586
Or}	Proprietary <Prtry>	[1..1]	±		2587

76.1.31.17.1 Code <Cd>

Presence: [1..1]

Definition: Type of Foreign Account Tax Compliance Act (FATCA) form expressed as a code.

Datatype: [CRSFormType1Code](#) on page 3268

CodeName	Name	Definition
CER4	CertificateIdentificationGovernment	Certificate of Identification issued by a government.
CER3	CertificateOfResidence	Certificate of residence.
CER5	OfficialDocumentGovernmentForEntity	Official documentation issued by a government for the entity.
CER6	OtherDocumentOrReport	Financial statement, third party credit report, bankruptcy filing or a securities regulator report.
CER8	PublicInformationEntity	Publicly available information for the entity.
CER1	SelfCertificationSeparateDocument	Self certification as a separate document.
CER2	SelfCertificationWithAccountOpeningContract	Self certification as a document included into contract of the account opening.
CER7	Standardised	Standardised industry coding system for the entity.

76.1.31.17.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of Foreign Account Tax Compliance Act (FATCA) form expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.31.18 FATCAStatus2

Definition: Foreign Account Tax Compliance Act (FATCA) status information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2588
{Or	Code <Cd>	[1..1]	CodeSet		2588
Or}	Proprietary <Prtry>	[1..1]	±		2588
	Source <Src>	[0..1]			2589
{Or	Code <Cd>	[1..1]	CodeSet		2589
Or}	Proprietary <Prtry>	[1..1]	±		2589

76.1.31.18.1 Type <Tp>

Presence: [1..1]

Definition: Foreign Account Tax Compliance Act (FATCA) status.

Type <Tp> contains one of the following **FATCAStatus2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2588
Or}	Proprietary <Prtry>	[1..1]	±		2588

76.1.31.18.1.1 Code <Cd>

Presence: [1..1]

Definition: Foreign Account Tax Compliance Act (FATCA) status expressed as a code.

Datatype: [FATCAStatus1Code on page 3280](#)

CodeName	Name	Definition
F101	FATCA101	Account holder type is an owner-documented financial institution with specified US owner(s).
F102	FATCA102	Account holder type is a passive non-financial entity with substantial US owner(s).
F103	FATCA103	Account holder type is a non-participating financial institution.
F104	FATCA104	Account holder type is a specified US person.
F105	FATCA105	Account holder type is a direct reporting non-financial foreign entity (NFFE).
F201	FATCA201	Account pool reporting type is a recalcitrant account holder with US indicia.
F202	FATCA202	Account pool reporting type is a recalcitrant account holder without US indicia.
F203	FATCA203	Account pool reporting type is a dormant account.
F204	FATCA204	Account pool reporting type is a non-participating foreign financial institution.
F205	FATCA205	Account pool reporting type is a recalcitrant account holder that is a US person.
F206	FATCA206	Account pool reporting type is recalcitrant account holder that is a passive non-financial foreign entity (NFFE).

76.1.31.18.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Foreign Account Tax Compliance Act (FATCA) status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.31.18.2 Source <Src>

Presence: [0..1]

Definition: Source of the Foreign Account Tax Compliance Act (FATCA) status.

Source <Src> contains one of the following **FATCASSource1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2589
Or}	Proprietary <Prtry>	[1..1]	±		2589

76.1.31.18.2.1 Code <Cd>

Presence: [1..1]

Definition: Source of the Foreign Account Tax Compliance Act (FATCA) status expressed as a code.

Datatype: [FATCASSourceStatus1Code](#) on page 3280

CodeName	Name	Definition
CALC	Calculated	Source of the Foreign Account Tax Compliance Act (FATCA) status calculated.
DECL	Declared	Source of the Foreign Account Tax Compliance Act (FATCA) status is as declared by the investor.

76.1.31.18.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Source of Foreign Account Tax Compliance Act (FATCA) status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.31.19 InformationDistribution1Choice

Definition: Choice of formats for the specification of how information is to be distributed.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2590
Or}	Proprietary <Prtry>	[1..1]	±		2590

76.1.31.19.1 Code <Cd>

Presence: [1..1]

Definition: Information distribution expressed as a code.

Datatype: [InformationDistribution2Code on page 3294](#)

CodeName	Name	Definition
ELEC	Electronic	Electronic distribution.
NONE	NoDistribution	No distribution.
PAPR	Paper	Paper distribution.

76.1.31.19.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Information distribution expressed as a code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.31.20 OwnershipBeneficiaryRate1

Definition: Percentage of ownership or of beneficial ownership of the shares/units in the account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Rate <Rate>	[0..1]	Rate		2591
	Fraction <Frctn>	[0..1]	Text		2591

Constraints

- **OwnershipBeneficiaryRateRule**

(Rule)

Either Rate or Fraction must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.31.20.1 Rate <Rate>

Presence: [0..1]

Definition: Ownership or beneficial ownership expressed as a percentage.

Datatype: [PercentageRate on page 3406](#)

76.1.31.20.2 Fraction <Frctn>

Presence: [0..1]

Definition: Ownership or beneficial ownership expressed as a fraction or another form.

Datatype: [Max35Text on page 3409](#)

76.1.31.21 DataBaseCheck1

Definition: Information about a database.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DatabaseCheck <DBChck>	[1..1]	Indicator		2591
	Identification <Id>	[1..1]	Text		2591

76.1.31.21.1 DatabaseCheck <DBChck>

Presence: [1..1]

Definition: Indicates whether the individual or organisation is listed in an on-line global Know Your Customer (KYC) database.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.31.21.2 Identification <Id>

Presence: [1..1]

Definition: Identification of the database.

Datatype: [Max35Text on page 3409](#)

76.1.31.22 KYCCheckType1Choice

Definition: Choice of formats for the specification of the Know Your Customer (KYC) check type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2592
Or}	Proprietary <Prtry>	[1..1]	±		2592

76.1.31.22.1 Code <Cd>

Presence: [1..1]

Definition: Type of Know Your Customer (KYC) check type expressed as a code.

Datatype: [KnowYourCustomerCheckType1Code](#) on page 3313

CodeName	Name	Definition
ENHA	Enhanced	Enhanced check, typically carried out on accounts that are considered high risk.
ORDN	Ordinary	Ordinary check, typically carried out on standard accounts.
SIMP	Simple	Simple check, typically carried out on accounts that have a low risk of anti-money laundering, such as an account owned by a financial institution.

76.1.31.22.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of Know Your Customer (KYC) check type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchemeNm>	[0..1]	Text		2015

76.1.31.23 RiskLevel2Choice

Definition: Choice of formats for the specification of the risk level.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2592
Or}	Proprietary <Prtry>	[1..1]	±		2593

76.1.31.23.1 Code <Cd>

Presence: [1..1]

Definition: Risk level expressed as code.

Datatype: [RiskLevel1Code](#) on page 3347

CodeName	Name	Definition
HIGH	High	High.
LOWW	Low	Low.
MEDM	Medium	Medium.

76.1.31.23.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Risk level expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchemeNm>	[0..1]	Text		2015

76.1.31.24 CertificationType1Choice

Definition: Choice of formats for the specification of the certificate type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2593
Or}	Proprietary <Prtry>	[1..1]	±		2594

76.1.31.24.1 Code <Cd>

Presence: [1..1]

Definition: Certificate type expressed as a code.

Datatype: [CertificateType2Code on page 3254](#)

CodeName	Name	Definition
AMLC	AntiMoneyLaundering	Anti-money laundering certification form.
DVLC	DrivingLicense	Government issued form of picture identification - driving license.
DFOR	DueFormationAndOrganisation	Certification of due formation and organisation.
GOST	GoodStanding	Certificate of good standing.
IDEN	IdentityCard	Government issued form of picture identification - identity card.
INCU	Incumbency	Certification of incumbency.
LREF	LetterOfReference	Letter of reference.
PASS	Passport	Government issued form of picture identification - passport.

CodeName	Name	Definition
PRAD	ProofOfAddress	Proof of the address, such as a utility bill.
PKIC	PublicKeyInfrastructureCertificate	Public key infrastructure certificate.

76.1.31.24.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Certificate type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.31.25 ReferredAgent3

Definition: Provides the placement agent identification for a hedge fund if the investor was referred by one.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Referred <Rfrd>	[1..1]	CodeSet		2594
	ReferredPlacementAgent <RfrdPlcmntAgt>	[0..1]	±		2595

Constraints

- **ReferredPlacementAgentRule**

(Rule)

ReferredPlacementAgent may only be present if Referred is REFR (Referred).

76.1.31.25.1 Referred <Rfrd>

Presence: [1..1]

Definition: Indicates if the investor was referred by a placement agent.

Datatype: [Referred1Code on page 3334](#)

CodeName	Name	Definition
REFR	Referred	The investor was referred to the fund by a placement agent.
NRFR	NotReferred	The investor was not referred to the fund by a placement agent.
UKNW	NotKnown	It is not known whether the investor was referred to the fund by a placement agent.

76.1.31.25.2 ReferredPlacementAgent <RfrdPlcmntAgt>

Presence: [0..1]

Definition: Placement agent that referred the investor.

ReferredPlacementAgent <RfrdPlcmntAgt> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.31.26 ExtendedParty14

Definition: Party and account information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExtendedPartyRole <XtndedPtyRole>	[1..1]	Text		2595
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		2595

76.1.31.26.1 ExtendedPartyRole <XtndedPtyRole>

Presence: [1..1]

Definition: Other type of party's role.

Datatype: [Extended350Code](#) on page 3407

76.1.31.26.2 OtherPartyDetails <OthrPtyDtls>

Presence: [1..1]

Definition: Detailed ownership information about a party.

OtherPartyDetails <OthrPtyDtIs> contains the following elements (see [InvestmentAccountOwnershipInformation16 on page 2121](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2123
{Or	Organisation <Org>	[1..1]	±	C24	2123
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		2124
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		2126
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			2126
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		2127
	ValidatingParty <VldtngPty>	[0..1]	Text		2127
	CheckingParty <ChckngPty>	[0..1]	Text		2127
	ResponsibleParty <RspnsblPty>	[0..1]	Text		2128
	CertificateType <CertTp>	[0..1]	±		2128
	CheckingDate <ChckngDt>	[0..1]	Date		2128
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		2128
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		2129
	SalaryRange <SlryRg>	[0..1]	Text		2129
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		2129
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		2129
	RiskLevel <RskLvl>	[0..1]	±		2129
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		2129
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		2130
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	2130
	ClientIdentification <Clntld>	[0..1]	Text		2131
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		2131
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		2131
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		2131
	Notification <Ntfctn>	[0..*]	±		2131
	FATCAFormType <FATCAFormTp>	[0..*]	±		2132
	FATCAStatus <FATCASts>	[0..*]	±		2132
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		2132
	CRSFormType <CRSFormTp>	[0..*]	±		2132

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		2133
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		2133
	OtherIdentification <OthrlId>	[0..*]	±		2133
	TaxExemption <TaxXmptn>	[0..1]	±		2134
	TaxReporting <TaxRptg>	[0..*]	±		2134
	Language <Lang>	[0..1]	CodeSet	C34	2135
	MailType <MailTp>	[0..1]	±		2136
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2136
	MonetaryWealth <MntryWith>	[0..1]	±		2136
	EquityValue <EqtyVal>	[0..1]	±		2136
	WorkingCapital <WorkgCptl>	[0..1]	±		2137
	CompanyLink <CpnyLk>	[0..1]	±		2137
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		2137
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2137
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2138
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		2138
	AccountingStatus <AcctgSts>	[0..1]	±		2139
	AdditionalInformation <AddtlInf>	[0..*]	±		2139
	ControllingParty <CtrlgPty>	[0..1]	Indicator		2140

76.1.31.27 Intermediary46

Definition: Identification of a party and its role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			2598
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2598
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2599
	LegalEntityIdentifier <LglnNtyldr>	[0..1]	IdentifierSet		2599
	Account <Acct>	[0..1]			2599
	Identification <Id>	[0..1]	Text		2599
	AccountServicer <AcctSvcr>	[1..1]	±		2599
	WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>	[0..1]	Indicator		2600
	Role <Role>	[0..1]	±		2600
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2600
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2601
	NameAndAddress <NmAndAdr>	[0..1]	±		2601

76.1.31.27.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier for an organisation that is allocated by an institution.

Identification <Id> contains one of the following **PartyIdentification177Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2598
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2599

76.1.31.27.1.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: C1 AnyBIC

Datatype: AnyBICDec2014Identifier on page 3392

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.31.27.1.2 ProprietaryIdentification <Prtryld>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <Prtryld> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.31.27.2 LegalEntityIdentifier <LglnTtyldr>

Presence: [0..1]

Definition: Identification of the organisation with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Datatype: [LEIIdentifier](#) on page 3400

76.1.31.27.3 Account <Acct>

Presence: [0..1]

Definition: Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Account <Acct> contains the following **Account32** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2599
	AccountServicer <AcctSvcr>	[1..1]	±		2599

76.1.31.27.3.1 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text](#) on page 3409

76.1.31.27.3.2 AccountServicer <AcctSvcr>

Presence: [1..1]

Definition: Institution servicing an account and assigning the account identifier to the account owner.

AccountServicer <AcctSvcr> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.31.27.4 WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>

Presence: [0..1]

Definition: Non-enforcement of the right to all or part of a commission by the party entitled to the commission.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.31.27.5 Role <Role>

Presence: [0..1]

Definition: Role or function performed by the intermediary.

Role <Role> contains one of the following elements (see [PartyRole2Choice](#) on page 2642 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2643
Or}	Proprietary <Prtry>	[1..1]	±		2645

76.1.31.27.6 PrimaryCommunicationAddress <PmryComAdr>

Presence: [0..*]

Definition: Communication device number or electronic address used for communication.

PrimaryCommunicationAddress <PmryComAdr> contains the following elements (see [CommunicationAddress6](#) on page 1609 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1609
{Or	Code <Cd>	[1..1]	CodeSet		1610
Or}	Proprietary <Prtry>	[1..1]	±		1610
	Email <Email>	[0..1]	Text		1610
	Phone <Phne>	[0..1]	Text		1610
	Mobile <Mob>	[0..1]	Text		1610
	FaxNumber <FaxNb>	[0..1]	Text		1611
	TelexAddress <TlxAdr>	[0..1]	Text		1611
	URLAddress <URLAdr>	[0..1]	Text		1611

76.1.31.27.7 SecondaryCommunicationAddress <ScndryComAdr>

Presence: [0..*]

Definition: Communication device number or electronic address used for communication.

SecondaryCommunicationAddress <ScndryComAdr> contains the following elements (see [CommunicationAddress6](#) on page 1609 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1609
{Or	Code <Cd>	[1..1]	CodeSet		1610
Or}	Proprietary <Prtry>	[1..1]	±		1610
	Email <Email>	[0..1]	Text		1610
	Phone <Phne>	[0..1]	Text		1610
	Mobile <Mob>	[0..1]	Text		1610
	FaxNumber <FaxNb>	[0..1]	Text		1611
	TelexAddress <TlxAdr>	[0..1]	Text		1611
	URLAddress <URLAdr>	[0..1]	Text		1611

76.1.31.27.8 NameAndAddress <NmAndAdr>

Presence: [0..1]

Definition: Information that locates and identifies a specific address, as defined by postal services.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress4](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2832
	Address <Adr>	[1..1]	±		2833

76.1.31.28 PartyIdentification132

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

76.1.31.28.1 AnyBIC <AnyBIC>

Presence: [0..1]

Definition: Identification of the party expressed as a BIC.

Impacted by: C1 AnyBIC

Datatype: AnyBICDec2014Identifier on page 3392

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.31.28.2 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [0..1]

Definition: Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

ClearingSystemMemberIdentification <ClrSysMmbld> contains one of the following elements (see [ClearingSystemMemberIdentification2Choice](#) on page 1801 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1802
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1802
Or	IrishNSCIDentification <IENSC>	[1..1]	IdentifierSet		1803
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1803
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1803
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1803
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1803
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1803
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1803
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1804
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1804
Or	CanadianPaymentsAssociationRoutingNumberIdentificati on <CACPA>	[1..1]	IdentifierSet		1804
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1804
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1804
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1804
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1804
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1805
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1805
Or	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1805
Or	IndianFinancialSystemCode <INIFSC>	[1..1]	IdentifierSet		1805
Or	HellenicBankIdentificationCode <GRHEBIC>	[1..1]	IdentifierSet		1805
Or	PolishNationalClearingCode <PLKNR>	[1..1]	IdentifierSet		1805
Or}	OtherClearingCodeIdentification <OthrClrCld>	[1..1]	Text		1806

76.1.31.28.3 NameAndAddress <NmAndAdr>

Presence: [0..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.31.28.4 ProprietaryIdentification <PrtryId>

Presence: [0..1]

Definition: Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.31.28.5 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIIdentifier](#) on page 3400

76.1.31.29 OrderDesk1

Definition: Identification of an order desk.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderDesk <OrdrDsk>	[0..1]	±		2604
	ClosureDates <ClsrDts>	[0..*]	Date		2605
	AdditionalInformation <AddtlInf>	[0..*]	±		2605

76.1.31.29.1 OrderDesk <OrdrDsk>

Presence: [0..1]

Definition: Contact information for the order desk.

OrderDesk <OrdrDsk> contains the following elements (see [ContactAttributes5](#) on page 2606 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2607
	PostalAddress <PstlAdr>	[0..1]	±		2607
	PhoneNumber <PhneNb>	[0..1]	Text		2607
	FaxNumber <FaxNb>	[0..1]	Text		2607
	EmailAddress <EmailAdr>	[0..1]	Text		2607
	URLAddress <URLAdr>	[0..1]	Text		2607
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2608
	LEI <LEI>	[0..1]	IdentifierSet		2608

76.1.31.29.2 ClosureDates <ClsrDts>

Presence: [0..*]

Definition: Days on which the order desk is closed.

Datatype: [ISODate](#) on page 3391

76.1.31.29.3 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the main order desk.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.31.30 ExtendedParty13

Definition: Other type of party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyRole <PtyRole>	[1..1]	±		2605
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		2606

76.1.31.30.1 PartyRole <PtyRole>

Presence: [1..1]

Definition: Role of the party.

PartyRole <PtyRole> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.31.30.2 OtherPartyDetails <OthrPtyDtIs>

Presence: [1..1]

Definition: Identification and communication information about the party.

OtherPartyDetails <OthrPtyDtIs> contains the following elements (see [ContactAttributes5](#) on page 2606 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2607
	PostalAddress <PstlAdr>	[0..1]	±		2607
	PhoneNumber <PhneNb>	[0..1]	Text		2607
	FaxNumber <FaxNb>	[0..1]	Text		2607
	EmailAddress <EmailAdr>	[0..1]	Text		2607
	URLAddress <URLAdr>	[0..1]	Text		2607
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2608
	LEI <LEI>	[0..1]	IdentifierSet		2608

76.1.31.31 ContactAttributes5

Definition: Communication device number or address used for communication.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2607
	PostalAddress <PstlAdr>	[0..1]	±		2607
	PhoneNumber <PhneNb>	[0..1]	Text		2607
	FaxNumber <FaxNb>	[0..1]	Text		2607
	EmailAddress <EmailAdr>	[0..1]	Text		2607
	URLAddress <URLAdr>	[0..1]	Text		2607
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2608
	LEI <LEI>	[0..1]	IdentifierSet		2608

76.1.31.31.1 Name <Nm>

Presence: [1..1]

Definition: Name of the party.

Datatype: [Max350Text on page 3409](#)

76.1.31.31.2 PostalAddress <PstIAdr>

Presence: [0..1]

Definition: Address of the party.

PostalAddress <PstIAdr> contains the following elements (see [PostalAddress1 on page 2830](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2830
	AddressLine <AdrLine>	[0..5]	Text		2830
	StreetName <StrtNm>	[0..1]	Text		2831
	BuildingNumber <BldgNb>	[0..1]	Text		2831
	PostCode <PstCd>	[0..1]	Text		2831
	TownName <TwnNm>	[0..1]	Text		2831
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2831
	Country <Ctry>	[1..1]	CodeSet	C11	2831

76.1.31.31.3 PhoneNumber <PhneNb>

Presence: [0..1]

Definition: Phone number of the party.

Datatype: [PhoneNumber on page 3410](#)

76.1.31.31.4 FaxNumber <FaxNb>

Presence: [0..1]

Definition: Fax number of the party.

Datatype: [PhoneNumber on page 3410](#)

76.1.31.31.5 EmailAddress <EmailAdr>

Presence: [0..1]

Definition: Address for electronic mail (e-mail) for the party.

Datatype: [Max256Text on page 3408](#)

76.1.31.31.6 URLAddress <URLAdr>

Presence: [0..1]

Definition: Address for the Universal Resource Locator (URL), for example, used over the www (HTTP) service.

Datatype: [Max2048Text on page 3408](#)

76.1.31.31.7 AnyBIC <AnyBIC>

Presence: [0..1]

Definition: Identification of the party expressed as a BIC.

Impacted by: [C1 AnyBIC](#)

Datatype: [AnyBICDec2014Identifier on page 3392](#)

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.31.31.8 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIIdentifier on page 3400](#)

76.1.31.32 FundParties1

Definition: Parties related to an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Guarantor <Guarnt>	[0..1]	±		2608
	Auditor <Audtr>	[0..1]	±		2609
	Trustee <Trstee>	[0..1]	±		2609
	OtherParty <OthrPty>	[0..*]	±		2610

76.1.31.32.1 Guarantor <Guarnt>

Presence: [0..1]

Definition: Guarantor of the financial instrument. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00080.

Guarantor <Guarnt> contains the following elements (see [ContactAttributes5](#) on page 2606 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2607
	PostalAddress <PstlAdr>	[0..1]	±		2607
	PhoneNumber <PhneNb>	[0..1]	Text		2607
	FaxNumber <FaxNb>	[0..1]	Text		2607
	EmailAddress <EmailAdr>	[0..1]	Text		2607
	URLAddress <URLAdr>	[0..1]	Text		2607
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2608
	LEI <LEI>	[0..1]	IdentifierSet		2608

76.1.31.32.2 Auditor <Audtr>

Presence: [0..1]

Definition: Party that regularly monitors compliance with the legal regulations.

Auditor <Audtr> contains the following elements (see [ContactAttributes5](#) on page 2606 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2607
	PostalAddress <PstlAdr>	[0..1]	±		2607
	PhoneNumber <PhneNb>	[0..1]	Text		2607
	FaxNumber <FaxNb>	[0..1]	Text		2607
	EmailAddress <EmailAdr>	[0..1]	Text		2607
	URLAddress <URLAdr>	[0..1]	Text		2607
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2608
	LEI <LEI>	[0..1]	IdentifierSet		2608

76.1.31.32.3 Trustee <Trstee>

Presence: [0..1]

Definition: Legal owner of the financial instrument. However, the beneficiary has the equitable or beneficial ownership.

Trustee <Trstee> contains the following elements (see [ContactAttributes5](#) on page 2606 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2607
	PostalAddress <PstlAdr>	[0..1]	±		2607
	PhoneNumber <PhneNb>	[0..1]	Text		2607
	FaxNumber <FaxNb>	[0..1]	Text		2607
	EmailAddress <EmailAdr>	[0..1]	Text		2607
	URLAddress <URLAdr>	[0..1]	Text		2607
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2608
	LEI <LEI>	[0..1]	IdentifierSet		2608

76.1.31.32.4 OtherParty <OthrPty>

Presence: [0..*]

Definition: Other type of party.

OtherParty <OthrPty> contains the following elements (see [ExtendedParty13](#) on page 2605 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyRole <PtyRole>	[1..1]	±		2605
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		2606

76.1.31.33 Intermediary43

Definition: Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2610
	Account <Acct>	[0..1]			2611
	Identification <Id>	[0..1]	Text		2611
	AccountServicer <AcctSvcr>	[1..1]	±		2611
	Role <Role>	[0..1]	±		2611
	ContactPerson <CtctPrsn>	[0..1]	±		2612

76.1.31.33.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of the intermediary.

Identification <Id> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.31.33.2 Account <Acct>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Account <Acct> contains the following **Account27** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2611
	AccountServicer <AcctSvcr>	[1..1]	±		2611

76.1.31.33.2.1 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text](#) on page 3409

76.1.31.33.2.2 AccountServicer <AcctSvcr>

Presence: [1..1]

Definition: Institution that maintains the records where the account is held.

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.31.33.3 Role <Role>

Presence: [0..1]

Definition: Function performed by the intermediary.

Role <Role> contains one of the following elements (see [Role4Choice](#) on page 2641 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2641
Or}	Proprietary <Prtry>	[1..1]	±		2642

76.1.31.33.4 ContactPerson <CtctPrsn>

Presence: [0..1]

Definition: Contact person and contact information.

ContactPerson <CtctPrsn> contains the following elements (see [ContactIdentification2](#) on page 2816 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2817
	GivenName <GvnNm>	[0..1]	Text		2817
	Name <Nm>	[1..1]	Text		2817
	PhoneNumber <PhneNb>	[0..1]	Text		2817
	MobileNumber <MobNb>	[0..1]	Text		2817
	FaxNumber <FaxNb>	[0..1]	Text		2818
	EmailAddress <EmailAdr>	[0..1]	Text		2818

76.1.31.34 PartyIdentification123Choice

Definition: Choice between different formats for the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2612
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2613
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2613

76.1.31.34.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Identification of the party expressed as a BIC.

Impacted by: C1 AnyBIC

Datatype: [AnyBICDec2014Identifier](#) on page 3392

Constraints

- **AnyBIC**
(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.31.34.2 ProprietaryIdentification <Prtryld>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to the party, using a proprietary identification scheme.

ProprietaryIdentification <Prtryld> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.31.34.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.31.35 PartyIdentification141

Definition: Identification of an entity involved in an activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			2614
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2614
Or	NameAndAddress <NmAndAdr>	[1..1]	±		2615
Or}	Country <Ctry>	[1..1]	CodeSet	C11	2615
	LEI <LEI>	[0..1]	IdentifierSet		2615
	AlternateIdentification <AltrId>	[0..1]	±		2615
	ProcessingDate <PrcgDt>	[0..1]	±		2616
	ProcessingIdentification <PrcgId>	[0..1]	Text		2616
	AdditionalInformation <AddtlInf>	[0..1]	±	C3	2616

76.1.31.35.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous way to identify the organisation.

Identification <Id> contains one of the following **PartyIdentification122Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2614
Or	NameAndAddress <NmAndAdr>	[1..1]	±		2615
Or}	Country <Ctry>	[1..1]	CodeSet	C11	2615

76.1.31.35.1.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Unique and unambiguous way to identify an organisation.

Impacted by: C1 AnyBIC

Datatype: AnyBICDec2014Identifier on page 3392

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008

– *Error Text:* Invalid BIC.

76.1.31.35.1.2 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Unique and unambiguous way to identify an organisation.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.31.35.1.3 Country <Ctry>

Presence: [1..1]

Definition: Unique and unambiguous way to identify an organisation.

Impacted by: C11 Country

Datatype: [CountryCode](#) on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.31.35.2 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIIdentifier](#) on page 3400

76.1.31.35.3 AlternateIdentification <AltrId>

Presence: [0..1]

Definition: Alternate identification for the party.

AlternateIdentification <AltrnId> contains the following elements (see [AlternatePartyIdentification7](#) on page 2628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		2628
	Country <Ctry>	[1..1]	CodeSet	C11	2628
	AlternateIdentification <AltrnId>	[1..1]	Text		2629

76.1.31.35.4 ProcessingDate <PrcgDt>

Presence: [0..1]

Definition: Date/time at which the instruction was processed by the specified party.

ProcessingDate <PrcgDt> contains one of the following elements (see [DateAndDate2Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1826
Or}	DateTime <DtTm>	[1..1]	DateTime		1826

76.1.31.35.5 ProcessingIdentification <PrcgId>

Presence: [0..1]

Definition: Unambiguous identification of the transaction for the party identified.

Datatype: [Max35Text](#) on page 3409

76.1.31.35.6 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the party.

Impacted by: [C3 AdditonalDetailsGuideline](#)

AdditionalInformation <AddtlInf> contains the following elements (see [PartyTextInformation1](#) on page 2646 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeclarationDetails <DclrtnDtIs>	[0..1]	Text		2646
	PartyContactDetails <PtyCtctDtIs>	[0..1]	Text		2646
	RegistrationDetails <RegnDtIs>	[0..1]	Text		2647

Constraints

- **AdditonalDetailsGuideline**

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

76.1.31.36 PartyIdentification126Choice

Definition: Choice of formats for the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2617
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2617

76.1.31.36.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Identification of the party expressed as a BIC.

Impacted by: C1 AnyBIC

Datatype: AnyBICDec2014Identifier on page 3392

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.31.36.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see GenericIdentification1 on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.31.37 PartyIdentification140

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2618
	LEI <LEI>	[0..1]	IdentifierSet		2618

76.1.31.37.1 Party <Pty>

Presence: [1..1]

Definition: Unique identification of the party.

Party <Pty> contains one of the following elements (see [PartyIdentification126Choice](#) on page 2617 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2617
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2617

76.1.31.37.2 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIIdentifier](#) on page 3400

76.1.31.38 PartyIdentification125Choice

Definition: Choice of formats for the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.31.38.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Identification of the party expressed as a BIC.

Impacted by: C1 AnyBIC

Datatype: [AnyBICDec2014Identifier](#) on page 3392

Constraints

- **AnyBIC**
(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.31.38.2 ProprietaryIdentification <Prtryld>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

ProprietaryIdentification <Prtryld> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.31.38.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.31.39 PartyIdentification139

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.31.39.1 Party <Pty>

Presence: [1..1]

Definition: Unique identification of the party.

Party <Pty> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.31.39.2 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIIdentifier](#) on page 3400

76.1.31.40 Intermediary17

Definition: Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2620
	RoleType <RoleTp>	[0..1]			2620
{Or	Role <Role>	[1..1]	CodeSet		2621
Or}	Proprietary <Prtry>	[1..1]	±		2622
	Account <Acct>	[0..1]	±		2622

76.1.31.40.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of the intermediary.

Identification <Id> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.31.40.2 RoleType <RoleTp>

Presence: [0..1]

Definition: Organised structure that is set up for a particular purpose, eg, a business, government body, department, charity, or financial institution.

RoleType <RoleTp> contains one of the following **IntermediaryRoleChoice1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Role <Role>	[1..1]	CodeSet		2621
Or}	Proprietary <Prtry>	[1..1]	±		2622

76.1.31.40.2.1 Role <Role>

Presence: [1..1]

Definition: Role of the party in the activity.

Datatype: InvestmentFundRole4Code on page 3303

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or

CodeName	Name	Definition
		other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.
CONI	ContactPersonAtInstructingPartyInstitution	Party acting as the contact person at the instructing party institution.
CONE	ContactPersonAtExecutingPartyInstitution	Party acting as the contact person at the executing party institution.
CONA	NameOfAgentToOrder	Name of Agent to the order, if different from the instructing party.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
FNBR	FundBroker	Party acting as an intermediary agent between an investor and a transfer agent for the subscription or redemption to a fund.
PRBR	PrimeBroker	Party acting as settlement agent, provides custody for assets, provides financing for leverage, and prepares daily account statements for its clients, who are money managers, hedge funds, market makers, arbitrageurs, specialists and other professional investors.

76.1.31.40.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Role of the party in the activity.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13 on page 2020](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.31.40.3 Account <Acct>

Presence: [0..1]

Definition: Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Account <Acct> contains the following elements (see [Account7](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1609
	AccountServicer <AcctSvcr>	[0..1]	±		1609

76.1.31.41 Intermediary39

Definition: Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2623
	Account <Acct>	[0..1]			2624
	Identification <Id>	[1..1]	Text		2624
	AccountServicer <AcctSvcr>	[0..1]	±		2624
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2624
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		2625
	Role <Role>	[0..1]	±		2625

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.31.41.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of the intermediary.

Identification <Id> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.31.41.2 Account <Acct>

Presence: [0..1]

Definition: Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Account <Acct> contains the following **Account22** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2624
	AccountServicer <AcctSvcr>	[0..1]	±		2624

76.1.31.41.2.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: Max35Text on page 3409

76.1.31.41.2.2 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Institution servicing the account and assigning the account identifier to the account owner.

AccountServicer <AcctSvcr> contains the following elements (see PartyIdentification113 on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.31.41.3 OrderOriginatorEligibility <OrdrgtrElgblty>

Presence: [0..1]

Definition: Counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.

Datatype: OrderOriginatorEligibility1Code on page 3317

CodeName	Name	Definition
ELIG	Eligible	Eligible counterparty - MiFID classification of counterparty. Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules defined under MiFID.
RETL	Retail	Retail client - MiFID classification of counterparty. Retail customers are the least sophisticated level of investor.

CodeName	Name	Definition
PROF	Professional	Professional client - MiFID classification of counterparty. Professional customers are, for example, investment firms, credit institutions, insurance companies.

76.1.31.41.4 TradingPartyCapacity <TradgPtyCpcty>

Presence: [0..1]

Definition: Capacity of the party executing an order.

Datatype: [TradingCapacity8Code](#) on page 3377

CodeName	Name	Definition
AGEN	Agent	Trading as Agent on behalf of a customer.
PRIN	Principal	Trading as Principal.

76.1.31.41.5 Role <Role>

Presence: [0..1]

Definition: Function performed by the intermediary.

Role <Role> contains one of the following elements (see [InvestmentFundRole2Choice](#) on page 2332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2332
Or}	Proprietary <Prtry>	[1..1]	±		2333

76.1.31.42 PartyIdentification113

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.31.42.1 Party <Pty>

Presence: [1..1]

Definition: Unique identification of the party.

Party <Pty> contains one of the following elements (see [PartyIdentification90Choice](#) on page 2638 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C7	2639
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2639
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2639

76.1.31.42.2 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIIdentifier](#) on page 3400

76.1.31.43 Intermediary40

Definition: Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2626
	Account <Acct>	[0..1]			2627
	Identification <Id>	[1..1]	Text		2627
	AccountServicer <AcctSvcr>	[0..1]	±		2627
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2627
	Role <Role>	[0..1]	±		2628

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.31.43.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of the intermediary.

Identification <Id> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.31.43.2 Account <Acct>

Presence: [0..1]

Definition: Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Account <Acct> contains the following **Account22** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2627
	AccountServicer <AcctSvcr>	[0..1]	±		2627

76.1.31.43.2.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text](#) on page 3409

76.1.31.43.2.2 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Institution servicing the account and assigning the account identifier to the account owner.

AccountServicer <AcctSvcr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.31.43.3 OrderOriginatorEligibility <OrdrgtrElgblty>

Presence: [0..1]

Definition: Counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.

Datatype: [OrderOriginatorEligibility1Code](#) on page 3317

CodeName	Name	Definition
ELIG	Eligible	Eligible counterparty - MiFID classification of counterparty. Eligible customers are the most sophisticated

CodeName	Name	Definition
		level of investor, able to opt out of some the protections afforded by conduct of business rules defined under MiFID.
RETL	Retail	Retail client - MiFID classification of counterparty. Retail customers are the least sophisticated level of investor.
PROF	Professional	Professional client - MiFID classification of counterparty. Professional customers are, for example, investment firms, credit institutions, insurance companies.

76.1.31.43.4 Role <Role>

Presence: [0..1]

Definition: Function performed by the intermediary.

Role <Role> contains one of the following elements (see [InvestmentFundRole2Choice](#) on page 2332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2332
Or}	Proprietary <Prtry>	[1..1]	±		2333

76.1.31.44 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]	±		2628
	Country <Ctry>	[1..1]	CodeSet	C11	2628
	AlternateIdentification <AltrId>	[1..1]	Text		2629

76.1.31.44.1 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 2006 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2007
Or}	Proprietary <Prtry>	[1..1]	±		2007

76.1.31.44.2 Country <Ctry>

Presence: [1..1]

Definition: Country in which a person resides (the place of a person's home). In the case of a company, it is the country from which the affairs of that company are directed.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.31.44.3 Alternateldidentification <Altrld>

Presence: [1..1]

Definition: Alternate identification for a party.

Datatype: Max35Text on page 3409

76.1.31.45 PartyIdentification100

Definition: Identification of the party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

76.1.31.45.1 Identification <Id>

Presence: [1..1]

Definition: Unique identification of the party.

Identification <Id> contains one of the following elements (see PartyIdentification71Choice on page 2640 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C7	2640
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2640
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2641

76.1.31.45.2 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for a party.

Datatype: [LEIIdentifier](#) on page 3400

76.1.31.46 Intermediary29

Definition: Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2630
	Role <Role>	[1..1]	±		2630
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2630
	SupplementaryData <SplmtryData>	[0..*]	±	C8	2631

Constraints

- **OrderOriginatorEligibility1Rule**

(Rule)

OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

76.1.31.46.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of the intermediary.

Identification <Id> contains the following elements (see [PartyIdentification100](#) on page 2629 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2629
	LEI <LEI>	[0..1]	IdentifierSet		2629

76.1.31.46.2 Role <Role>

Presence: [1..1]

Definition: Function performed by the intermediary.

Role <Role> contains one of the following elements (see [Role5Choice](#) on page 2397 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2397
Or}	Proprietary <Prtry>	[1..1]	±		2398

76.1.31.46.3 OrderOriginatorEligibility <OrdrOrgtrElgblty>

Presence: [0..1]

Definition: Counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.

Datatype: [OrderOriginatorEligibility1Code](#) on page 3317

CodeName	Name	Definition
ELIG	Eligible	Eligible counterparty - MiFID classification of counterparty. Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules defined under MiFID.
RETL	Retail	Retail client - MiFID classification of counterparty. Retail customers are the least sophisticated level of investor.
PROF	Professional	Professional client - MiFID classification of counterparty. Professional customers are, for example, investment firms, credit institutions, insurance companies.

76.1.31.46.4 SupplementaryData <SplmtryData>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: [C8 SupplementaryDataRule](#)

SupplementaryData <SplmtryData> contains the following elements (see [SupplementaryData1](#) on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		2471
	Envelope <Envlp>	[1..1]	(External Schema)		2471

Constraints

- **SupplementaryDataRule**

(Rule)

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.

76.1.31.47 RegisteredShareholderName1Choice

Definition: Choice of individual or organisation name and address.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndividualPerson <IndvPrsn>	[1..1]			2632
	NamePrefix <NmPrfx>	[0..1]			2632
{Or	Code <Cd>	[1..1]	CodeSet		2633
Or}	Proprietary <Prtry>	[1..1]	±		2633
	GivenName <GvnNm>	[0..1]	Text		2633
	MiddleName <MddlNm>	[0..1]	Text		2633
	Name <Nm>	[1..1]	Text		2633
	PostalAddress <PstlAdr>	[1..5]	±	C23	2634
Or}	Organisation <Org>	[1..1]			2635
	Name <Nm>	[1..1]	Text		2635
	ShortName <ShrtNm>	[0..1]	Text		2635
	PostalAddress <PstlAdr>	[1..5]	±	C23	2635

76.1.31.47.1 IndividualPerson <IndvPrsn>

Presence: [1..1]

Definition: Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

IndividualPerson <IndvPrsn> contains the following **IndividualPerson29** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			2632
{Or	Code <Cd>	[1..1]	CodeSet		2633
Or}	Proprietary <Prtry>	[1..1]	±		2633
	GivenName <GvnNm>	[0..1]	Text		2633
	MiddleName <MddlNm>	[0..1]	Text		2633
	Name <Nm>	[1..1]	Text		2633
	PostalAddress <PstlAdr>	[1..5]	±	C23	2634

76.1.31.47.1.1 NamePrefix <NmPrfx>

Presence: [0..1]

Definition: Term used to address the person.

NamePrefix <NmPrfx> contains one of the following **NamePrefix1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2633
Or}	Proprietary <Prtry>	[1..1]	±		2633

76.1.31.47.1.1.1 Code <Cd>

Presence: [1..1]

Definition: Name prefix expressed as a code.

Datatype: [NamePrefix1Code on page 3315](#)

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MIST	Mister	Title of the person is Mister or Mr.
MISS	Miss	Title of the person is Miss.
MADM	Madam	Title of the person is Madam.

76.1.31.47.1.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Name prefix expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.31.47.1.2 GivenName <GvnNm>

Presence: [0..1]

Definition: First name of the person.

Datatype: [Max35Text on page 3409](#)

76.1.31.47.1.3 MiddleName <MddINm>

Presence: [0..1]

Definition: Second name of the person.

Datatype: [Max35Text on page 3409](#)

76.1.31.47.1.4 Name <Nm>

Presence: [1..1]

Definition: Name by which the party is known and which is usually used to identify that person.

Datatype: [Max350Text on page 3409](#)

76.1.31.47.1.5 PostalAddress <PstIAdr>

Presence: [1..5]

Definition: Address of the person.

Impacted by: [C23 MailingIndicatorRule](#)

PostalAddress <PstIAdr> contains the following elements (see [PostalAddress21 on page 2821](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2822
{Or	Code <Cd>	[1..1]	CodeSet		2823
Or}	Proprietary <Prtry>	[1..1]	±		2823
	MailingIndicator <MIngInd>	[0..1]	Indicator		2823
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2823
	CareOf <CareOf>	[0..1]	Text		2824
	AddressLine <AdrLine>	[0..5]	Text		2824
	StreetName <StrtNm>	[0..1]	Text		2824
	BuildingNumber <BldgNb>	[0..1]	Text		2824
	BuildingName <BldgNm>	[0..1]	Text		2824
	PostBox <PstBx>	[0..1]	Text		2824
	SideInBuilding <SdInBldg>	[0..1]	Text		2824
	Floor <Flr>	[0..1]	Text		2824
	SuiteIdentification <SuitId>	[0..1]	Text		2825
	PostCode <PstCd>	[0..1]	Text		2825
	DistrictName <DstrctNm>	[0..1]	Text		2825
	Village <Vllg>	[0..1]	Text		2825
	TownName <TwnNm>	[0..1]	Text		2825
	State <Stat>	[0..1]	Text		2825
	Country <Ctry>	[1..1]	CodeSet	C11	2825

Constraints

- **MailingIndicatorRule**
(Rule)

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

76.1.31.47.2 Organisation <Org>

Presence: [1..1]

Definition: Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

Organisation <Org> contains the following **Organisation23** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2635
	ShortName <ShrtNm>	[0..1]	Text		2635
	PostalAddress <PstlAdr>	[1..5]	±	C23	2635

76.1.31.47.2.1 Name <Nm>

Presence: [1..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: Max350Text on page 3409

76.1.31.47.2.2 ShortName <ShrtNm>

Presence: [0..1]

Definition: Name of the organisation in short form.

Datatype: Max35Text on page 3409

76.1.31.47.2.3 PostalAddress <PstlAdr>

Presence: [1..5]

Definition: Information that locates and identifies a specific address, as defined by postal services.

Impacted by: C23 MailingIndicatorRule

PostalAddress <PstIAdr> contains the following elements (see [PostalAddress21](#) on page 2821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2822
{Or	Code <Cd>	[1..1]	CodeSet		2823
Or}	Proprietary <Prtry>	[1..1]	±		2823
	MailingIndicator <MInglnd>	[0..1]	Indicator		2823
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2823
	CareOf <CareOf>	[0..1]	Text		2824
	AddressLine <AdrLine>	[0..5]	Text		2824
	StreetName <StrtNm>	[0..1]	Text		2824
	BuildingNumber <BldgNb>	[0..1]	Text		2824
	BuildingName <BldgNm>	[0..1]	Text		2824
	PostBox <PstBx>	[0..1]	Text		2824
	SideInBuilding <SdInBldg>	[0..1]	Text		2824
	Floor <Flr>	[0..1]	Text		2824
	SuiteIdentification <SuiteId>	[0..1]	Text		2825
	PostCode <PstCd>	[0..1]	Text		2825
	DistrictName <DstrctNm>	[0..1]	Text		2825
	Village <Vllg>	[0..1]	Text		2825
	TownName <TwnNm>	[0..1]	Text		2825
	State <Stat>	[0..1]	Text		2825
	Country <Ctry>	[1..1]	CodeSet	C11	2825

Constraints

- **MailingIndicatorRule**

(Rule)

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

76.1.31.48 PartyRole4Choice

Definition: Choice of formats for the specification of the role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2637
Or}	Proprietary <Prtry>	[1..1]	±		2638

76.1.31.48.1 Code <Cd>

Presence: [1..1]

Definition: Role expressed as a code.

Datatype: InvestmentFundRole7Code on page 3306

CodeName	Name	Definition
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
DIST	Distributor	Party that act as an wholesaler of funds.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
PAYI	PayingAgent	Agent that executes the payment. In the context of the investment fund industry, the paying agent is the local legal representative of the fund. It may pay out dividends, and collects money for the purchase of funds when a client deals directly with the fund and/or when a client deals with bearer shares. It pays out the redemption of the fund, may distribute information about the fund, and provides legal information about the fund.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the

CodeName	Name	Definition
		investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
FACT	FundAccountant	Party that keeps accounting records of the available assets and liabilities of the fund. This party calculates deal prices, the Net Asset Value (NAV) of the fund, and may provide fund performance and tax data.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in accordance with net flow of capital into or out of the fund.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.

76.1.31.48.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Role expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.31.49 PartyIdentification90Choice

Definition: Choice of formats for the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C7	2639
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2639
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2639

76.1.31.49.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Identification of the party expressed as a BIC.

Impacted by: C7 AnyBIC

Datatype: AnyBICIdentifier on page 3392

Constraints

- **AnyBIC**

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.31.49.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see [GenericIdentification1 on page 2021](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.31.49.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5 on page 2832](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.31.50 PartyIdentification71Choice

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	C7	2640
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2640
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2641

76.1.31.50.1 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: C7 AnyBIC

Datatype: AnyBICIdentifier on page 3392

Constraints

- **AnyBIC**

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.31.50.2 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 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.31.50.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.31.51 Role4Choice

Definition: Choice of format for a party role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2641
Or}	Proprietary <Prtry>	[1..1]	±		2642

76.1.31.51.1 Code <Cd>

Presence: [1..1]

Definition: Role of the party in the activity expressed as a code.

Datatype: [InvestmentFundRole2Code](#) on page 3302

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the

CodeName	Name	Definition
		investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

76.1.31.51.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Role of the party in the activity expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.31.52 PartyRole2Choice

Definition: Choice of formats for the specification of the role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2643
Or}	Proprietary <Prtry>	[1..1]	±		2645

76.1.31.52.1 Code <Cd>

Presence: [1..1]

Definition: Role expressed as a code.

Datatype: InvestmentFundRole6Code on page 3304

CodeName	Name	Definition
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
DATP	DataProvider	Source of financial information. Provides financial news and data (for example, facts, statistics and analysis), for professional and individual investors through various media, for example, the Internet, magazines.
DIST	Distributor	Party that act as an wholesaler of funds.
FACT	FundAccountant	Party that keeps accounting records of the available assets and liabilities of the fund. This party calculates deal prices, the Net Asset Value (NAV) of the fund, and may provide fund performance and tax data.
FIAD	FinancialAdvisor	Party that supplies information and advice on investment products.
FIAG	FinalAgent	Financial institution that receives the payment transaction on behalf of an account owner, or other nominated party, and credits the account.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
FNBR	FundBroker	Party acting as an intermediary agent between an investor and a transfer agent for the subscription or redemption to a fund.
FTAG	FirstAgent	Financial institution that receives the payment transaction from the account owner, or other authorised party, and processes the instruction.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry,

CodeName	Name	Definition
		<p>an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.</p>
INVE	InvestmentManager	<p>Party that implements the investment strategy, that is, selects portfolio investments in accordance with the objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in accordance with net flow of capital into or out of the fund.</p>
INVS	Investor	<p>Party, either an individual or organisation, whose assets are being invested.</p>
PAYI	PayingAgent	<p>Agent that executes the payment. In the context of the investment fund industry, the paying agent is the local legal representative of the fund. It may pay out dividends, and collects money for the purchase of funds when a client deals directly with the fund and/or when a client deals with bearer shares. It pays out the redemption of the fund, may distribute information about the fund, and provides legal information about the fund.</p>
REGI	Registrar	<p>Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.</p>
TRAG	TransferAgent	<p>Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.</p>
TRAN	TransmittingAgent	<p>Party that transmits the instruction, advice, notification or report.</p>

76.1.31.52.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Role expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.31.53 MoneyLaunderingCheck1Choice

Definition: Choice of formats for the specification of the money laundering check.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2645
Or}	Proprietary <Prtry>	[1..1]	±		2646

76.1.31.53.1 Code <Cd>

Presence: [1..1]

Definition: Money laundering status expressed as a code.

Datatype: MoneyLaunderingCheck1Code on page 3314

CodeName	Name	Definition
PASS	Passed	Money laundering identification procedures have been carried out by the intermediary.
NOTC	NotChecked	Money laundering identification procedures have not been carried out.
EXEM	ExemptBelowLimit	Money laundering identification procedures have not been carried out because the transaction is below the prescribed limit.
CLMO	ClientMoneyTypeExempt	Money laundering identification procedures have not been carried out because of the transaction type, for example, switch, or because the transaction is being funded from an existing investor account held by the intermediary.
AUTH	AuthorisedCredit	Money laundering identification procedures have not been carried out because the investor is an authorised credit or financial institution.

CodeName	Name	Definition
POEP	PostalOrElectronicPaymentExempt	Limited money laundering identification procedures have been carried out because it is a one time only transaction and the payment is being made by postal, telephone or electronic transfers from an existing account with an authorised credit or financial institution.

76.1.31.53.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Money laundering status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.31.54 PartyTextInformation1

Definition: Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		2646
	PartyContactDetails <PtyCtctDtls>	[0..1]	Text		2646
	RegistrationDetails <RegnDtls>	[0..1]	Text		2647

Constraints

- **AdditionalDetailsGuideline**

(Guideline)

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

76.1.31.54.1 DeclarationDetails <DclrtnDtls>

Presence: [0..1]

Definition: Provides declaration details narrative relative to the party.

Datatype: [Max350Text](#) on page 3409

76.1.31.54.2 PartyContactDetails <PtyCtctDtls>

Presence: [0..1]

Definition: Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

Datatype: [Max140Text on page 3407](#)

76.1.31.54.3 RegistrationDetails <RegnDtls>

Presence: [0..1]

Definition: Provides information required for the registration.

Datatype: [Max350Text on page 3409](#)

76.1.31.55 Intermediary4

Definition: Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2647
	Account <Acct>	[0..1]	±		2647
	Role <Role>	[0..1]	Text		2647

76.1.31.55.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of the intermediary.

Identification <Id> contains one of the following elements (see [PartyIdentification2Choice on page 2493](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.31.55.2 Account <Acct>

Presence: [0..1]

Definition: Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Account <Acct> contains the following elements (see [Account2 on page 1592](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	±		1592
	AccountServicer <AcctSvcr>	[1..1]	±		1593

76.1.31.55.3 Role <Role>

Presence: [0..1]

Definition: Function performed by the intermediary.

Datatype: [Max35Text](#) on page 3409

76.1.31.56 Intermediary16

Definition: Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2648
	RoleType <RoleTp>	[0..1]			2648
{Or	Role <Role>	[1..1]	CodeSet		2648
Or}	Proprietary <Prtry>	[1..1]	±		2650
	Account <Acct>	[0..1]	±		2650
	CommunicationInformation <ComInf>	[0..1]	±		2650

76.1.31.56.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of the intermediary.

Identification <Id> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.31.56.2 RoleType <RoleTp>

Presence: [0..1]

Definition: Type of role.

RoleType <RoleTp> contains one of the following **IntermediaryRoleChoice1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Role <Role>	[1..1]	CodeSet		2648
Or}	Proprietary <Prtry>	[1..1]	±		2650

76.1.31.56.2.1 Role <Role>

Presence: [1..1]

Definition: Role of the party in the activity.

Datatype: [InvestmentFundRole4Code](#) on page 3303

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.
CONI	ContactPersonAtInstructingPartyInstitution	Party acting as the contact person at the instructing party institution.

CodeName	Name	Definition
CONE	ContactPersonAtExecutingPartyInstitution	Party acting as the contact person at the executing party institution.
CONA	NameOfAgentToOrder	Name of Agent to the order, if different from the instructing party.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
FNBR	FundBroker	Party acting as an intermediary agent between an investor and a transfer agent for the subscription or redemption to a fund.
PRBR	PrimeBroker	Party acting as settlement agent, provides custody for assets, provides financing for leverage, and prepares daily account statements for its clients, who are money managers, hedge funds, market makers, arbitrageurs, specialists and other professional investors.

76.1.31.56.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Role of the party in the activity.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13](#) on page 2020 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.31.56.3 Account <Acct>

Presence: [0..1]

Definition: Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Account <Acct> contains the following elements (see [Account7](#) on page 1608 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1609
	AccountServicer <AcctSvcr>	[0..1]	±		1609

76.1.31.56.4 CommunicationInformation <ComInf>

Presence: [0..1]

Definition: Number or address used for communication.

CommunicationInformation <ComInf> contains the following elements (see [ContactInformation1](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2014
	FaxNumber <FaxNb>	[0..1]	Text		2014
	TelephoneNumber <TelNb>	[0..1]	Text		2014
	EmailAddress <EmailAdr>	[0..1]	Text		2014

76.1.32 Payment

76.1.32.1 PaymentTransaction72

Definition: Payment processes required to transfer cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2652
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2653
	Reference <Ref>	[0..1]	Text		2654
	Debtor <Dbtr>	[0..1]	±		2654
	DebtorAccount <DbtrAcct>	[0..1]	±		2654
	DebtorAgent <DbtrAgt>	[0..1]	±		2655
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2655
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2655
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2655
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2656
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2656
	CreditorAgent <CdtrAgt>	[1..1]	±		2656
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2656
	Creditor <Cdtr>	[0..1]	±		2657
	CreditorAccount <CdtrAcct>	[1..1]	±		2657
Or	ChequeDetails <ChqDtls>	[1..1]			2657
	Number <Nb>	[0..1]	Text		2658
	PayeeIdentification <Pyeeld>	[1..1]	±		2658
	DraweeIdentification <Drweeld>	[0..1]	±		2658
	DrawerIdentification <Drwrlid>	[0..1]	±		2658
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2659
	Number <Nb>	[0..1]	Text		2659
	PayeeIdentification <Pyeeld>	[1..1]	±		2659
	DraweeIdentification <Drweeld>	[0..1]	±		2659
	DrawerIdentification <Drwrlid>	[0..1]	±		2660
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2660
	AccountIdentification <AcctId>	[0..1]	Text		2660
	Type <Tp>	[0..1]	±		2661

76.1.32.1.1 PaymentInstrument <PmtInstrm>

Presence: [1..1]

Definition: Choice between types of payment instrument, for example, cheque, credit transfer or investment account.

PaymentInstrument <PmtInstrm> contains one of the following **PaymentInstrument21Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2653
	Reference <Ref>	[0..1]	Text		2654
	Debtor <Dbtr>	[0..1]	±		2654
	DebtorAccount <DbtrAcct>	[0..1]	±		2654
	DebtorAgent <DbtrAgt>	[0..1]	±		2655
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2655
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2655
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2655
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2656
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2656
	CreditorAgent <CdtrAgt>	[1..1]	±		2656
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2656
	Creditor <Cdtr>	[0..1]	±		2657
	CreditorAccount <CdtrAcct>	[1..1]	±		2657
Or	ChequeDetails <ChqDtls>	[1..1]			2657
	Number <Nb>	[0..1]	Text		2658
	PayeeIdentification <Pyeeld>	[1..1]	±		2658
	DraweeIdentification <Drweeld>	[0..1]	±		2658
	DrawerIdentification <Drwrlid>	[0..1]	±		2658
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2659
	Number <Nb>	[0..1]	Text		2659
	PayeeIdentification <Pyeeld>	[1..1]	±		2659
	DraweeIdentification <Drweeld>	[0..1]	±		2659
	DrawerIdentification <Drwrlid>	[0..1]	±		2660
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2660
	AccountIdentification <AcctId>	[0..1]	Text		2660
	Type <Tp>	[0..1]	±		2661

76.1.32.1.1.1 CreditTransferDetails <CdtTrfDtls>

Presence: [1..1]

Definition: Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.

CreditTransferDetails <CdtTrfDtls> contains the following **CreditTransfer8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2654
	Debtor <Dbtr>	[0..1]	±		2654
	DebtorAccount <DbtrAcct>	[0..1]	±		2654
	DebtorAgent <DbtrAgt>	[0..1]	±		2655
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2655
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2655
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2655
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2656
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2656
	CreditorAgent <CdtrAgt>	[1..1]	±		2656
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2656
	Creditor <Cdtr>	[0..1]	±		2657
	CreditorAccount <CdtrAcct>	[1..1]	±		2657

76.1.32.1.1.1.1 Reference <Ref>

Presence: [0..1]

Definition: Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

Datatype: Max35Text on page 3409

76.1.32.1.1.1.2 Debtor <Dbtr>

Presence: [0..1]

Definition: Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

Debtor <Dbtr> contains the following elements (see PartyIdentification113 on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.1.1.1.3 DebtorAccount <DbtrAcct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

DebtorAccount <DbtrAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.1.1.1.4 DebtorAgent <DbtrAgt>

Presence: [0..1]

Definition: Financial institution servicing an account for the debtor.

DebtorAgent <DbtrAgt> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.1.1.1.5 DebtorAgentAccount <DbtrAgtAcct>

Presence: [0..1]

Definition: Identifies the account of the debtor's agent.

DebtorAgentAccount <DbtrAgtAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.1.1.1.6 IntermediaryAgent1 <IntrmyAgt1>

Presence: [0..1]

Definition: Agent between the debtor's agent and the creditor's agent.

IntermediaryAgent1 <IntrmyAgt1> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.1.1.1.7 IntermediaryAgent1Account <IntrmyAgt1Acct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

IntermediaryAgent1Account <IntrmyAgt1Acct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.1.1.1.8 IntermediaryAgent2 <IntrmyAgt2>

Presence: [0..1]

Definition: Agent between the debtor's agent and the creditor's agent.

IntermediaryAgent2 <IntrmyAgt2> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.1.1.1.9 IntermediaryAgent2Account <IntrmyAgt2Acct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

IntermediaryAgent2Account <IntrmyAgt2Acct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.1.1.1.10 CreditorAgent <CdtrAgt>

Presence: [1..1]

Definition: Financial institution servicing an account for the creditor.

CreditorAgent <CdtrAgt> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.1.1.1.11 CreditorAgentAccount <CdtrAgtAcct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.

CreditorAgentAccount <CdtrAgtAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.1.1.1.12 Creditor <Cdtr>

Presence: [0..1]

Definition: Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

Creditor <Cdtr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.1.1.1.13 CreditorAccount <CdtrAcct>

Presence: [1..1]

Definition: Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.

CreditorAccount <CdtrAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.1.1.2 ChequeDetails <ChqDtls>

Presence: [1..1]

Definition: Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

ChequeDetails <ChqDtls> contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2658
	PayeeIdentification <Pyeeld>	[1..1]	±		2658
	DraweeIdentification <Drweeld>	[0..1]	±		2658
	DrawerIdentification <Drwrlid>	[0..1]	±		2658

76.1.32.1.1.2.1 Number <Nb>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a cheque as assigned by the financial institution.

Datatype: [Max35Text on page 3409](#)

76.1.32.1.1.2.2 PayeeIdentification <Pyeeld>

Presence: [1..1]

Definition: Party to which a cheque is made payable.

PayeeIdentification <Pyeeld> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.1.1.2.3 DraweeIdentification <Drweeld>

Presence: [0..1]

Definition: Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

DraweeIdentification <Drweeld> contains the following elements (see [FinancialInstitutionIdentification10 on page 1850](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.1.1.2.4 DrawerIdentification <Drwrlid>

Presence: [0..1]

Definition: Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

DrawerIdentification <Drwrld> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.1.1.3 BankersDraftDetails <BkrsDrftDtls>

Presence: [1..1]

Definition: Cheque drawn by a bank on itself or its agent. A person who owes money to another buys the draft from a bank for cash and hands it to the creditor.

BankersDraftDetails <BkrsDrftDtls> contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2659
	PayeeIdentification <Pyeeld>	[1..1]	±		2659
	DraweeIdentification <Drweeld>	[0..1]	±		2659
	DrawerIdentification <Drwrld>	[0..1]	±		2660

76.1.32.1.1.3.1 Number <Nb>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a cheque as assigned by the financial institution.

Datatype: [Max35Text](#) on page 3409

76.1.32.1.1.3.2 PayeeIdentification <Pyeeld>

Presence: [1..1]

Definition: Party to which a cheque is made payable.

PayeeIdentification <Pyeeld> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.1.1.3.3 DraweeIdentification <Drweeld>

Presence: [0..1]

Definition: Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

DraweeIdentification <Drweeld> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.1.1.3.4 DrawerIdentification <Drwrld>

Presence: [0..1]

Definition: Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

DrawerIdentification <Drwrld> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.1.1.4 CashAccountDetails <CshAcctDtls>

Presence: [1..1]

Definition: Part of the investment account to or from which cash entries are made.

Impacted by: [C1 AccountElementRule](#)

CashAccountDetails <CshAcctDtls> contains the following **InvestmentAccount60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2660
	Type <Tp>	[0..1]	±		2661

Constraints

- **AccountElementRule**

(Rule)

Either AccountIdentification or Type must be present. Both may be present.

Error handling:

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

76.1.32.1.1.4.1 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text on page 3409](#)

76.1.32.1.1.4.2 Type <Tp>

Presence: [0..1]

Definition: Account type.

Type <Tp> contains one of the following elements (see [InvestmentAccountType1Choice on page 2148](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2148
Or}	Proprietary <Prtry>	[1..1]	±		2149

76.1.32.2 PaymentInstrument18

Definition: Payment parties for the transfer of cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2664
	Amount <Amt>	[1..1]	Amount	C2	2664
	PaymentDate <PmtDt>	[0..1]	Date		2664
	CashSettlementDetails <CshSttlmDtls>	[0..1]			2665
{Or	CreditTransferDetails <CdtTrfDtls>	[0..1]			2668
	Debtor <Dbtr>	[0..1]	±		2670
	DebtorAccount <DbtrAcct>	[0..1]			2671
	Name <Nm>	[0..1]	Text		2671
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2671
	Other <Othr>	[0..1]	±		2672
	DebtorAgent <DbtrAgt>	[0..1]			2672
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2672
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2673
	NameAndAddress <NmAndAdr>	[0..1]	±		2674
	LEI <LEI>	[0..1]	IdentifierSet		2674
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2675
	BranchIdentification <Brnchld>	[0..1]	±		2675
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2675
	Name <Nm>	[0..1]	Text		2675
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2675
	Other <Othr>	[0..1]	±		2676
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2676
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2677
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2677
	NameAndAddress <NmAndAdr>	[0..1]	±		2678
	LEI <LEI>	[0..1]	IdentifierSet		2678
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2679
	BranchIdentification <Brnchld>	[0..1]	±		2679
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2679
	Name <Nm>	[0..1]	Text		2679
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2679

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Other <Othr>	[0..1]	±		2680
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2680
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2681
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2681
	NameAndAddress <NmAndAdr>	[0..1]	±		2682
	LEI <LEI>	[0..1]	IdentifierSet		2682
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2683
	BranchIdentification <Brnchld>	[0..1]	±		2683
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2683
	Name <Nm>	[0..1]	Text		2683
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2683
	Other <Othr>	[0..1]	±		2684
	CreditorAgent <CdtrAgt>	[1..1]			2684
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2685
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2685
	NameAndAddress <NmAndAdr>	[0..1]	±		2686
	LEI <LEI>	[0..1]	IdentifierSet		2686
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2687
	BranchIdentification <Brnchld>	[0..1]	±		2687
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2687
	Name <Nm>	[0..1]	Text		2687
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2687
	Other <Othr>	[0..1]	±		2688
	Creditor <Cdtr>	[0..1]	±		2688
	CreditorAccount <CdtrAcct>	[1..1]			2689
	Name <Nm>	[0..1]	Text		2689
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2689
	Other <Othr>	[0..1]	±		2690
Or}	ChequeDetails <ChqDtls>	[1..1]			2690
	Number <Nb>	[0..1]	Text		2691
	PayeeIdentification <Pyeeld>	[0..1]	±		2691

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Draweeldidentification <Drweeld>	[0..1]			2691
	Party <Pty>	[1..1]			2691
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		2692
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	2692
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		2692
Or}	ProprietaryIdentification <Prtryld>	[1..1]	Text		2693
	LEI <LEI>	[0..1]	IdentifierSet		2693
	DrawerIdentification <Drwrld>	[0..1]	±		2694

76.1.32.2.1 Reference <Ref>

Presence: [0..1]

Definition: Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

Datatype: Max35Text on page 3409

76.1.32.2.2 Amount <Amt>

Presence: [1..1]

Definition: Amount of the payment.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.32.2.3 PaymentDate <PmtDt>

Presence: [0..1]

Definition: Date of the payment.

Datatype: ISODate on page 3391

76.1.32.2.4 CashSettlementDetails <CshSttlmDtls>

Presence: [0..1]

Definition: Payment process for the transfer of cash from the debtor to the creditor.

CashSettlementDetails <CshSttlmDtls> contains one of the following **PaymentInstrument25Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CreditTransferDetails <CdtTrfDtls>	[0..1]			2668
	Debtor <Dbtr>	[0..1]	±		2670
	DebtorAccount <DbtrAcct>	[0..1]			2671
	Name <Nm>	[0..1]	Text		2671
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2671
	Other <Othr>	[0..1]	±		2672
	DebtorAgent <DbtrAgt>	[0..1]			2672
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2672
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2673
	NameAndAddress <NmAndAdr>	[0..1]	±		2674
	LEI <LEI>	[0..1]	IdentifierSet		2674
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2675
	BranchIdentification <Brnchld>	[0..1]	±		2675
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2675
	Name <Nm>	[0..1]	Text		2675
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2675
	Other <Othr>	[0..1]	±		2676
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2676
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2677
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2677
	NameAndAddress <NmAndAdr>	[0..1]	±		2678
	LEI <LEI>	[0..1]	IdentifierSet		2678
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2679
	BranchIdentification <Brnchld>	[0..1]	±		2679
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2679
	Name <Nm>	[0..1]	Text		2679
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2679
	Other <Othr>	[0..1]	±		2680
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2680
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2681

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2681
	NameAndAddress <NmAndAdr>	[0..1]	±		2682
	LEI <LEI>	[0..1]	IdentifierSet		2682
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2683
	BranchIdentification <Brnchld>	[0..1]	±		2683
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2683
	Name <Nm>	[0..1]	Text		2683
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2683
	Other <Othr>	[0..1]	±		2684
	CreditorAgent <CdtrAgt>	[1..1]			2684
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2685
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2685
	NameAndAddress <NmAndAdr>	[0..1]	±		2686
	LEI <LEI>	[0..1]	IdentifierSet		2686
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2687
	BranchIdentification <Brnchld>	[0..1]	±		2687
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2687
	Name <Nm>	[0..1]	Text		2687
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2687
	Other <Othr>	[0..1]	±		2688
	Creditor <Cdtr>	[0..1]	±		2688
	CreditorAccount <CdtrAcct>	[1..1]			2689
	Name <Nm>	[0..1]	Text		2689
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2689
	Other <Othr>	[0..1]	±		2690
Or}	ChequeDetails <ChqDtls>	[1..1]			2690
	Number <Nb>	[0..1]	Text		2691
	PayeeIdentification <Pyeeld>	[0..1]	±		2691
	DraweeIdentification <Drweeld>	[0..1]			2691
	Party <Pty>	[1..1]			2691
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		2692

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BICFI <BICFI/>	[1..1]	IdentifierSet	C5	2692
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		2692
Or}	ProprietaryIdentification <Prtryld>	[1..1]	Text		2693
	LEI <LEI/>	[0..1]	IdentifierSet		2693
	DrawerIdentification <Drwrld>	[0..1]	±		2694

76.1.32.2.4.1 CreditTransferDetails <CdtTrfDtls>

Presence: [0..1]

Definition: Payment instrument between a debtor and a creditor that flows through one or more financial institutions or systems.

CreditTransferDetails <CdtTrfDtls> contains the following **CreditTransfer9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Debtor <Dbtr>	[0..1]	±		2670
	DebtorAccount <DbtrAcct>	[0..1]			2671
	Name <Nm>	[0..1]	Text		2671
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2671
	Other <Othr>	[0..1]	±		2672
	DebtorAgent <DbtrAgt>	[0..1]			2672
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2672
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2673
	NameAndAddress <NmAndAdr>	[0..1]	±		2674
	LEI <LEI>	[0..1]	IdentifierSet		2674
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2675
	BranchIdentification <Brnchld>	[0..1]	±		2675
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2675
	Name <Nm>	[0..1]	Text		2675
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2675
	Other <Othr>	[0..1]	±		2676
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2676
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2677
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2677
	NameAndAddress <NmAndAdr>	[0..1]	±		2678
	LEI <LEI>	[0..1]	IdentifierSet		2678
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2679
	BranchIdentification <Brnchld>	[0..1]	±		2679
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2679
	Name <Nm>	[0..1]	Text		2679
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2679
	Other <Othr>	[0..1]	±		2680
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2680
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2681
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2681
	NameAndAddress <NmAndAdr>	[0..1]	±		2682

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LEI <LEI>	[0..1]	IdentifierSet		2682
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2683
	BranchIdentification <BrnchId>	[0..1]	±		2683
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2683
	Name <Nm>	[0..1]	Text		2683
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2683
	Other <Othr>	[0..1]	±		2684
	CreditorAgent <CdtrAgt>	[1..1]			2684
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2685
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2685
	NameAndAddress <NmAndAdr>	[0..1]	±		2686
	LEI <LEI>	[0..1]	IdentifierSet		2686
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2687
	BranchIdentification <BrnchId>	[0..1]	±		2687
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2687
	Name <Nm>	[0..1]	Text		2687
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2687
	Other <Othr>	[0..1]	±		2688
	Creditor <Cdtr>	[0..1]	±		2688
	CreditorAccount <CdtrAcct>	[1..1]			2689
	Name <Nm>	[0..1]	Text		2689
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2689
	Other <Othr>	[0..1]	±		2690

76.1.32.2.4.1.1 Debtor <Dbtr>

Presence: [0..1]

Definition: Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

Debtor <Dbtr> contains the following elements (see [PartyIdentification132](#) on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

76.1.32.2.4.1.2 DebtorAccount <DbtrAcct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

DebtorAccount <DbtrAcct> contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2671
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2671
	Other <Othr>	[0..1]	±		2672

76.1.32.2.4.1.2.1 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.32.2.4.1.2.2 IBAN <IBAN>

Presence: [0..1]

Definition: International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

Impacted by: [C16 IBAN](#)

Datatype: [IBAN2007Identifier](#) on page 3398

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

76.1.32.2.4.1.2.3 Other <Othr>

Presence: [0..1]

Definition: Unique identification of the account, as assigned by the account servicer, using an identification scheme.

Other <Othr> contains the following elements (see [GenericAccountIdentification1](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.32.2.4.1.3 DebtorAgent <DbtrAgt>

Presence: [0..1]

Definition: Financial institution servicing the account for the debtor.

DebtorAgent <DbtrAgt> contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2672
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2673
	NameAndAddress <NmAndAdr>	[0..1]	±		2674
	LEI <LEI>	[0..1]	IdentifierSet		2674
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2675
	BranchIdentification <BrnchId>	[0..1]	±		2675

76.1.32.2.4.1.3.1 BICFI <BICFI>

Presence: [0..1]

Definition: Identification of the financial institution expressed as a BIC.

Impacted by: C5 BICFI

Datatype: BICFIDec2014Identifier on page 3393

Constraints

- **BICFI**

(Rule)

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

76.1.32.2.4.1.3.2 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [0..1]

Definition: Information used to identify a member within a clearing system.

ClearingSystemMemberIdentification <ClrSysMmbld> contains one of the following elements (see [ClearingSystemMemberIdentification4Choice](#) on page 1806 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1806
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1807
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1807
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1807
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1807
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1807
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1807
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1807
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1808
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1808
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1808
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1808
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1808
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1808
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1808
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1809
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1809
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1809
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1809

76.1.32.2.4.1.3.3 NameAndAddress <NmAndAdr>

Presence: [0..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.32.2.4.1.3.4 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIdentifier](#) on page 3400

76.1.32.2.4.1.3.5 ProprietaryIdentification <PrtryId>

Presence: [0..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

Datatype: [Max35Text](#) on page 3409

76.1.32.2.4.1.3.6 BranchIdentification <BrnchId>

Presence: [0..1]

Definition: Identification of a specific branch of the financial institution.

BranchIdentification <BrnchId> contains the following elements (see [BranchData2](#) on page 1852 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1853
	Name <Nm>	[0..1]	Text		1853
	PostalAddress <PstlAdr>	[0..1]	±		1853

76.1.32.2.4.1.4 DebtorAgentAccount <DbtrAgtAcct>

Presence: [0..1]

Definition: Identifies the account of the debtor's agent.

DebtorAgentAccount <DbtrAgtAcct> contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2675
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2675
	Other <Othr>	[0..1]	±		2676

76.1.32.2.4.1.4.1 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.32.2.4.1.4.2 IBAN <IBAN>

Presence: [0..1]

Definition: International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

Impacted by: C16 IBAN

Datatype: IBAN2007Identifier on page 3398

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

76.1.32.2.4.1.4.3 Other <Othr>

Presence: [0..1]

Definition: Unique identification of the account, as assigned by the account servicer, using an identification scheme.

Other <Othr> contains the following elements (see GenericAccountIdentification1 on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.32.2.4.1.5 IntermediaryAgent1 <IntrmyAgt1>

Presence: [0..1]

Definition: Agent between the debtor's agent and the creditor's agent.

IntermediaryAgent1 <IntrmyAgt1> contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2677
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2677
	NameAndAddress <NmAndAdr>	[0..1]	±		2678
	LEI <LEI>	[0..1]	IdentifierSet		2678
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2679
	BranchIdentification <BrnchId>	[0..1]	±		2679

76.1.32.2.4.1.5.1 BICFI <BICFI>

Presence: [0..1]

Definition: Identification of the financial institution expressed as a BIC.

Impacted by: C5 BICFI

Datatype: BICFIDec2014Identifier on page 3393

Constraints

- **BICFI**

(Rule)

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

76.1.32.2.4.1.5.2 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [0..1]

Definition: Information used to identify a member within a clearing system.

ClearingSystemMemberIdentification <ClrSysMmbld> contains one of the following elements (see [ClearingSystemMemberIdentification4Choice](#) on page 1806 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1806
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1807
Or	IrishNSCIDentification <IENSC>	[1..1]	IdentifierSet		1807
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1807
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1807
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1807
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1807
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1807
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1808
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1808
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1808
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1808
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1808
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1808
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1808
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1809
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1809
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1809
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1809

76.1.32.2.4.1.5.3 NameAndAddress <NmAndAdr>

Presence: [0..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.32.2.4.1.5.4 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIIdentifier](#) on page 3400

76.1.32.2.4.1.5.5 ProprietaryIdentification <PrtryId>

Presence: [0..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

Datatype: [Max35Text](#) on page 3409

76.1.32.2.4.1.5.6 BranchIdentification <BrnchId>

Presence: [0..1]

Definition: Identification of a specific branch of the financial institution.

BranchIdentification <BrnchId> contains the following elements (see [BranchData2](#) on page 1852 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1853
	Name <Nm>	[0..1]	Text		1853
	PostalAddress <PstlAdr>	[0..1]	±		1853

76.1.32.2.4.1.6 IntermediaryAgent1Account <IntrmyAgt1Acct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

IntermediaryAgent1Account <IntrmyAgt1Acct> contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2679
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2679
	Other <Othr>	[0..1]	±		2680

76.1.32.2.4.1.6.1 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.32.2.4.1.6.2 IBAN <IBAN>

Presence: [0..1]

Definition: International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

Impacted by: C16 IBAN

Datatype: IBAN2007Identifier on page 3398

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

76.1.32.2.4.1.6.3 Other <Othr>

Presence: [0..1]

Definition: Unique identification of the account, as assigned by the account servicer, using an identification scheme.

Other <Othr> contains the following elements (see GenericAccountIdentification1 on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.32.2.4.1.7 IntermediaryAgent2 <IntrmyAgt2>

Presence: [0..1]

Definition: Agent between the debtor's agent and the creditor's agent.

IntermediaryAgent2 <IntrmyAgt2> contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2681
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2681
	NameAndAddress <NmAndAdr>	[0..1]	±		2682
	LEI <LEI>	[0..1]	IdentifierSet		2682
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2683
	BranchIdentification <BrnchId>	[0..1]	±		2683

76.1.32.2.4.1.7.1 BICFI <BICFI>

Presence: [0..1]

Definition: Identification of the financial institution expressed as a BIC.

Impacted by: C5 BICFI

Datatype: BICFIDec2014Identifier on page 3393

Constraints

- **BICFI**

(Rule)

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

76.1.32.2.4.1.7.2 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [0..1]

Definition: Information used to identify a member within a clearing system.

ClearingSystemMemberIdentification <ClrSysMmbld> contains one of the following elements (see [ClearingSystemMemberIdentification4Choice on page 1806](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1806
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1807
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1807
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1807
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1807
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1807
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1807
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1807
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1808
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1808
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1808
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1808
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1808
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1808
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1808
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1809
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1809
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1809
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1809

76.1.32.2.4.1.7.3 NameAndAddress <NmAndAdr>

Presence: [0..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5 on page 2832](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.32.2.4.1.7.4 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIdentifier](#) on page 3400

76.1.32.2.4.1.7.5 ProprietaryIdentification <PrtryId>

Presence: [0..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

Datatype: [Max35Text](#) on page 3409

76.1.32.2.4.1.7.6 BranchIdentification <BrnchId>

Presence: [0..1]

Definition: Identification of a specific branch of the financial institution.

BranchIdentification <BrnchId> contains the following elements (see [BranchData2](#) on page 1852 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1853
	Name <Nm>	[0..1]	Text		1853
	PostalAddress <PstlAdr>	[0..1]	±		1853

76.1.32.2.4.1.8 IntermediaryAgent2Account <IntrmyAgt2Acct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

IntermediaryAgent2Account <IntrmyAgt2Acct> contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2683
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2683
	Other <Othr>	[0..1]	±		2684

76.1.32.2.4.1.8.1 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.32.2.4.1.8.2 IBAN <IBAN>

Presence: [0..1]

Definition: International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

Impacted by: C16 IBAN

Datatype: IBAN2007Identifier on page 3398

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

76.1.32.2.4.1.8.3 Other <Othr>

Presence: [0..1]

Definition: Unique identification of the account, as assigned by the account servicer, using an identification scheme.

Other <Othr> contains the following elements (see GenericAccountIdentification1 on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.32.2.4.1.9 CreditorAgent <CdrAgt>

Presence: [1..1]

Definition: Financial institution servicing the account for the creditor.

CreditorAgent <CdrAgt> contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2685
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2685
	NameAndAddress <NmAndAdr>	[0..1]	±		2686
	LEI <LEI>	[0..1]	IdentifierSet		2686
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2687
	BranchIdentification <BrnchId>	[0..1]	±		2687

76.1.32.2.4.1.9.1 BICFI <BICFI>

Presence: [0..1]

Definition: Identification of the financial institution expressed as a BIC.

Impacted by: C5 BICFI

Datatype: BICFIDec2014Identifier on page 3393

Constraints

- **BICFI**

(Rule)

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

76.1.32.2.4.1.9.2 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [0..1]

Definition: Information used to identify a member within a clearing system.

ClearingSystemMemberIdentification <ClrSysMmbld> contains one of the following elements (see [ClearingSystemMemberIdentification4Choice on page 1806](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1806
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1807
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1807
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1807
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1807
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1807
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1807
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1807
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1808
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1808
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1808
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1808
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1808
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1808
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1808
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1809
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1809
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1809
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1809

76.1.32.2.4.1.9.3 NameAndAddress <NmAndAdr>

Presence: [0..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5 on page 2832](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.32.2.4.1.9.4 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIdentifier](#) on page 3400

76.1.32.2.4.1.9.5 ProprietaryIdentification <PrtryId>

Presence: [0..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

Datatype: [Max35Text](#) on page 3409

76.1.32.2.4.1.9.6 BranchIdentification <BrnchId>

Presence: [0..1]

Definition: Identification of a specific branch of the financial institution.

BranchIdentification <BrnchId> contains the following elements (see [BranchData2](#) on page 1852 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1853
	Name <Nm>	[0..1]	Text		1853
	PostalAddress <PstlAdr>	[0..1]	±		1853

76.1.32.2.4.1.10 CreditorAgentAccount <CdtrAgtAcct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.

CreditorAgentAccount <CdtrAgtAcct> contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2687
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2687
	Other <Othr>	[0..1]	±		2688

76.1.32.2.4.1.10.1 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.32.2.4.1.10.2 IBAN <IBAN>

Presence: [0..1]

Definition: International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

Impacted by: C16 IBAN

Datatype: IBAN2007Identifier on page 3398

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

76.1.32.2.4.1.10.3 Other <Othr>

Presence: [0..1]

Definition: Unique identification of the account, as assigned by the account servicer, using an identification scheme.

Other <Othr> contains the following elements (see GenericAccountIdentification1 on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.32.2.4.1.11 Creditor <Cdtr>

Presence: [0..1]

Definition: Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

Creditor <Cdtr> contains the following elements (see [PartyIdentification132](#) on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

76.1.32.2.4.1.12 CreditorAccount <CdtrAcct>

Presence: [1..1]

Definition: Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.

CreditorAccount <CdtrAcct> contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2689
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2689
	Other <Othr>	[0..1]	±		2690

76.1.32.2.4.1.12.1 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.32.2.4.1.12.2 IBAN <IBAN>

Presence: [0..1]

Definition: International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

Impacted by: [C16 IBAN](#)

Datatype: [IBAN2007Identifier](#) on page 3398

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

76.1.32.2.4.1.12.3 Other <Othr>

Presence: [0..1]

Definition: Unique identification of the account, as assigned by the account servicer, using an identification scheme.

Other <Othr> contains the following elements (see [GenericAccountIdentification1](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.32.2.4.2 ChequeDetails <ChqDtls>

Presence: [1..1]

Definition: Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

ChequeDetails <ChqDtls> contains the following **Cheque12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2691
	PayeeIdentification <Pyeeld>	[0..1]	±		2691
	DraweeIdentification <Drweeld>	[0..1]			2691
	Party <Pty>	[1..1]			2691
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		2692
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	2692
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		2692
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		2693
	LEI <LEI>	[0..1]	IdentifierSet		2693
	DrawerIdentification <Drwrld>	[0..1]	±		2694

76.1.32.2.4.2.1 Number <Nb>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the cheque as assigned by the financial institution.

Datatype: [Max35Text on page 3409](#)

76.1.32.2.4.2.2 PayeeIdentification <PyeeId>

Presence: [0..1]

Definition: Party to which the cheque is made payable.

PayeeIdentification <PyeeId> contains the following elements (see [PartyIdentification139 on page 2619](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.32.2.4.2.3 DraweeIdentification <DrweeId>

Presence: [0..1]

Definition: Financial institution on which the cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

DraweeIdentification <DrweeId> contains the following **FinancialInstitutionIdentification17** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2691
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		2692
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	2692
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		2692
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		2693
	LEI <LEI>	[0..1]	IdentifierSet		2693

76.1.32.2.4.2.3.1 Party <Pty>

Presence: [1..1]

Definition: Unique identification of the financial institution.

Party <Pty> contains one of the following **FinancialInstitutionIdentification10Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		2692
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	2692
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		2692
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		2693

76.1.32.2.4.2.3.1.1 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.32.2.4.2.3.1.2 BICFI <BICFI>

Presence: [1..1]

Definition: Identification of the financial institution expressed as a BIC.

Impacted by: [C5 BICFI](#)

Datatype: [BICFIDec2014Identifier](#) on page 3393

Constraints

- **BICFI**

(Rule)

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

76.1.32.2.4.2.3.1.3 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [1..1]

Definition: Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

ClearingSystemMemberIdentification <ClrSysMmbld> contains one of the following elements (see [ClearingSystemMemberIdentification2Choice on page 1801](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1802
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1802
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1803
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1803
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1803
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1803
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1803
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1803
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1803
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1804
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1804
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1804
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1804
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1804
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1804
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1804
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1805
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1805
Or	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1805
Or	IndianFinancialSystemCode <INIFSC>	[1..1]	IdentifierSet		1805
Or	HellenicBankIdentificationCode <GRHEBIC>	[1..1]	IdentifierSet		1805
Or	PolishNationalClearingCode <PLKNR>	[1..1]	IdentifierSet		1805
Or}	OtherClearingCodeIdentification <OthrClrCld>	[1..1]	Text		1806

76.1.32.2.4.2.3.1.4 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

Datatype: [Max35Text on page 3409](#)

76.1.32.2.4.2.3.2 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIIdentifier](#) on page 3400

76.1.32.2.4.2.4 DrawerIdentification <Drwrld>

Presence: [0..1]

Definition: Account owner that issues the cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

DrawerIdentification <Drwrld> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.32.3 PaymentInstrument17

Definition: Instrument used to process a payment instruction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2695
	DividendPercentage <DvddPctg>	[0..1]	Rate		2696
	SubscriptionPaymentInstrument <SbcptPmtInstrm>	[0..1]			2696
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2696
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2697
Or	Cheque <Chq>	[1..1]	Indicator		2697
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2698
	RedemptionPaymentInstrument <RedPmtInstrm>	[0..1]			2698
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2698
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2698
	DividendPaymentInstrument <DvddPmtInstrm>	[0..1]			2698
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2699
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2699
	SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm>	[0..1]			2699
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2699
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2700
Or	Cheque <Chq>	[1..1]	Indicator		2700
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2701
	InterestPaymentInstrument <IntrstPmtInstrm>	[0..1]			2701
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2701
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2701

76.1.32.3.1 SettlementCurrency <SttlmCcy>

Presence: [1..1]

Definition: Currency associated with the payment instrument.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.32.3.2 DividendPercentage <DvddPctg>

Presence: [0..1]

Definition: Percentage of the dividend payment not to be reinvested, that is, to be paid in cash.

Datatype: PercentageBoundedRate on page 3406

76.1.32.3.3 SubscriptionPaymentInstrument <SbcptPmtInstrm>

Presence: [0..1]

Definition: Instrument that has or represents monetary value and is used to process a payment instruction for a subscription payment.

SubscriptionPaymentInstrument <SbcptPmtInstrm> contains one of the following **PaymentInstrument24Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2696
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2697
Or	Cheque <Chq>	[1..1]	Indicator		2697
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2698

76.1.32.3.3.1 PaymentCardDetails <PmtCardDtls>

Presence: [1..1]

Definition: Settlement instructions for a payment by card.

PaymentCardDetails <PmtCardDtIs> contains the following elements (see [PaymentCard29](#) on page 2702 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2702
	Number <Nb>	[1..1]	Text		2702
	HolderName <HldrNm>	[1..1]	Text		2702
	StartDate <StartDt>	[0..1]	YearMonth		2703
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2703
	CardIssuerName <CardIssrNm>	[0..1]	Text		2703
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2703
	SecurityCode <SctyCd>	[0..1]	Text		2703
	SequenceNumber <SeqNb>	[0..1]	Text		2703

76.1.32.3.3.2 DirectDebitDetails <DrctDbtDtIs>

Presence: [1..1]

Definition: Settlement instructions for a payment by direct debit.

DirectDebitDetails <DrctDbtDtIs> contains the following elements (see [DirectDebitMandate7](#) on page 1840 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1840
	Debtor <Dbtr>	[0..1]	±		1840
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1841
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1841
	Creditor <Cdtr>	[0..1]	±		1841
	DebtorAgent <DbtrAgt>	[1..1]	±		1841
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1842
	CreditorAgent <CdtrAgt>	[0..1]	±		1842
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1842
	RegistrationIdentification <RegnId>	[0..1]	Text		1843
	MandatIdentification <MndtId>	[0..1]	Text		1843

76.1.32.3.3.3 Cheque <Chq>

Presence: [1..1]

Definition: Indicates whether the payment is done via cheque.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.32.3.3.4 BankersDraft <BkrsDrft>

Presence: [1..1]

Definition: Indicates whether the payment is done via draft.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.32.3.4 RedemptionPaymentInstrument <RedPmtInstrm>

Presence: [0..1]

Definition: Instrument that has or represents monetary value and is used to process a payment instruction for a redemption payment.

RedemptionPaymentInstrument <RedPmtInstrm> contains one of the following **PaymentInstrument19Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2698
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2698

76.1.32.3.4.1 ChequeDetails <ChqDtls>

Presence: [1..1]

Definition: Settlement instructions for a payment by cheque.

ChequeDetails <ChqDtls> contains the following elements (see [Cheque4](#) on page 1801 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <PyeeId>	[1..1]	±		1801

76.1.32.3.4.2 BankersDraftDetails <BkrsDrftDtls>

Presence: [1..1]

Definition: Settlement instructions for a payment by draft.

BankersDraftDetails <BkrsDrftDtls> contains the following elements (see [Cheque4](#) on page 1801 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <PyeeId>	[1..1]	±		1801

76.1.32.3.5 DividendPaymentInstrument <DvddPmtInstrm>

Presence: [0..1]

Definition: Instrument that has or represents monetary value and is used to process a payment instruction for a dividend payment.

DividendPaymentInstrument <DvddPmtInstrm> contains one of the following **PaymentInstrument19Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2699
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2699

76.1.32.3.5.1 ChequeDetails <ChqDtls>

Presence: [1..1]

Definition: Settlement instructions for a payment by cheque.

ChequeDetails <ChqDtls> contains the following elements (see [Cheque4](#) on page 1801 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Payeeldentification <Pyeeld>	[1..1]	±		1801

76.1.32.3.5.2 BankersDraftDetails <BkrsDrftDtls>

Presence: [1..1]

Definition: Settlement instructions for a payment by draft.

BankersDraftDetails <BkrsDrftDtls> contains the following elements (see [Cheque4](#) on page 1801 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Payeeldentification <Pyeeld>	[1..1]	±		1801

76.1.32.3.6 SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm>

Presence: [0..1]

Definition: Instrument that has or represents monetary value and is used to process a payment instruction for a savings plan payment.

SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm> contains one of the following **PaymentInstrument24Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2699
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2700
Or	Cheque <Chq>	[1..1]	Indicator		2700
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2701

76.1.32.3.6.1 PaymentCardDetails <PmtCardDtls>

Presence: [1..1]

Definition: Settlement instructions for a payment by card.

PaymentCardDetails <PmtCardDtIs> contains the following elements (see [PaymentCard29](#) on page 2702 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2702
	Number <Nb>	[1..1]	Text		2702
	HolderName <HldrNm>	[1..1]	Text		2702
	StartDate <StartDt>	[0..1]	YearMonth		2703
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2703
	CardIssuerName <CardIssrNm>	[0..1]	Text		2703
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2703
	SecurityCode <SctyCd>	[0..1]	Text		2703
	SequenceNumber <SeqNb>	[0..1]	Text		2703

76.1.32.3.6.2 DirectDebitDetails <DrctDbtDtIs>

Presence: [1..1]

Definition: Settlement instructions for a payment by direct debit.

DirectDebitDetails <DrctDbtDtIs> contains the following elements (see [DirectDebitMandate7](#) on page 1840 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1840
	Debtor <Dbtr>	[0..1]	±		1840
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1841
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1841
	Creditor <Cdtr>	[0..1]	±		1841
	DebtorAgent <DbtrAgt>	[1..1]	±		1841
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1842
	CreditorAgent <CdtrAgt>	[0..1]	±		1842
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1842
	RegistrationIdentification <RegnId>	[0..1]	Text		1843
	MandatIdentification <MndtId>	[0..1]	Text		1843

76.1.32.3.6.3 Cheque <Chq>

Presence: [1..1]

Definition: Indicates whether the payment is done via cheque.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.32.3.6.4 BankersDraft <BkrsDrft>

Presence: [1..1]

Definition: Indicates whether the payment is done via draft.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.32.3.7 InterestPaymentInstrument <IntrstPmtInstrm>

Presence: [0..1]

Definition: Instrument that has or represents monetary value and is used to process a payment instruction for an interest payment.

InterestPaymentInstrument <IntrstPmtInstrm> contains one of the following **PaymentInstrument19Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2701
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2701

76.1.32.3.7.1 ChequeDetails <ChqDtls>

Presence: [1..1]

Definition: Settlement instructions for a payment by cheque.

ChequeDetails <ChqDtls> contains the following elements (see [Cheque4](#) on page 1801 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <Pyeeld>	[1..1]	±		1801

76.1.32.3.7.2 BankersDraftDetails <BkrsDrftDtls>

Presence: [1..1]

Definition: Settlement instructions for a payment by draft.

BankersDraftDetails <BkrsDrftDtls> contains the following elements (see [Cheque4](#) on page 1801 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <Pyeeld>	[1..1]	±		1801

76.1.32.4 PaymentCard29

Definition: Electronic money product that provides the cardholder with a portable and specialised computer device, which typically contains a microprocessor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2702
	Number <Nb>	[1..1]	Text		2702
	HolderName <HldrNm>	[1..1]	Text		2702
	StartDate <StartDt>	[0..1]	YearMonth		2703
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2703
	CardIssuerName <CardIssrNm>	[0..1]	Text		2703
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2703
	SecurityCode <SctyCd>	[0..1]	Text		2703
	SequenceNumber <SeqNb>	[0..1]	Text		2703

76.1.32.4.1 Type <Tp>

Presence: [1..1]

Definition: Type of card, for example, credit card.

Datatype: [CardType1Code on page 3253](#)

CodeName	Name	Definition
CRDT	CreditCard	Card where the holder has been granted a line of credit. The card enables the holder to make purchases and withdraw cash up to a pre-arranged ceiling.
DBIT	DebitCard	Card enabling the holder to have its purchases directly charged to its account. The card may also combine other functions, for example, cash card or cheque guaranteed card.

76.1.32.4.2 Number <Nb>

Presence: [1..1]

Definition: Number embossed on a card that links the card to the account owner and account servicer.

Datatype: [Max35Text on page 3409](#)

76.1.32.4.3 HolderName <HldrNm>

Presence: [1..1]

Definition: Party entitled by a card issuer to use a card.

Datatype: [Max35Text on page 3409](#)

76.1.32.4.4 StartDate <StartDt>

Presence: [0..1]

Definition: Year and month the card is available for use.

Datatype: [ISOYearMonth on page 3411](#)

76.1.32.4.5 ExpiryDate <XpryDt>

Presence: [1..1]

Definition: Year and month the card expires.

Datatype: [ISOYearMonth on page 3411](#)

76.1.32.4.6 CardIssuerName <CardIssrNm>

Presence: [0..1]

Definition: Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.

Datatype: [Max35Text on page 3409](#)

76.1.32.4.7 CardIssuerIdentification <CardIssrId>

Presence: [0..1]

Definition: Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.

CardIssuerIdentification <CardIssrId> contains one of the following elements (see [PartyIdentification125Choice on page 2618](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.32.4.8 SecurityCode <SctyCd>

Presence: [0..1]

Definition: Security code written on, or in, the card.

Datatype: [Max35Text on page 3409](#)

76.1.32.4.9 SequenceNumber <SeqNb>

Presence: [0..1]

Definition: Number distinguishing two or more payment cards with the same account number.

Datatype: [Max3Text on page 3409](#)

76.1.32.5 PaymentInstrument14

Definition: Payment parties for the transfer of cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2705
	CreditTransferDetails <CdtTrfDtls>	[0..1]			2705
	Debtor <Dbtr>	[0..1]	±		2708
	DebtorAccount <DbtrAcct>	[0..1]			2709
	Name <Nm>	[0..1]	Text		2709
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2709
	Other <Othr>	[0..1]	±		2710
	DebtorAgent <DbtrAgt>	[0..1]			2710
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2710
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2711
	NameAndAddress <NmAndAdr>	[0..1]	±		2712
	LEI <LEI>	[0..1]	IdentifierSet		2712
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2713
	BranchIdentification <Brnchld>	[0..1]	±		2713
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2713
	Name <Nm>	[0..1]	Text		2713
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2713
	Other <Othr>	[0..1]	±		2714
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2714
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2715
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2715
	NameAndAddress <NmAndAdr>	[0..1]	±		2716
	LEI <LEI>	[0..1]	IdentifierSet		2716
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2717
	BranchIdentification <Brnchld>	[0..1]	±		2717
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2717
	Name <Nm>	[0..1]	Text		2717
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2717
	Other <Othr>	[0..1]	±		2718
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2718
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2719

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2719
	NameAndAddress <NmAndAdr>	[0..1]	±		2720
	LEI <LEI>	[0..1]	IdentifierSet		2720
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2721
	BranchIdentification <Brnchld>	[0..1]	±		2721
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2721
	Name <Nm>	[0..1]	Text		2721
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2721
	Other <Othr>	[0..1]	±		2722
	CreditorAgent <CdtrAgt>	[1..1]			2722
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2723
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2723
	NameAndAddress <NmAndAdr>	[0..1]	±		2724
	LEI <LEI>	[0..1]	IdentifierSet		2724
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2725
	BranchIdentification <Brnchld>	[0..1]	±		2725
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2725
	Name <Nm>	[0..1]	Text		2725
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2725
	Other <Othr>	[0..1]	±		2726
	Creditor <Cdtr>	[0..1]	±		2726
	CreditorAccount <CdtrAcct>	[1..1]			2727
	Name <Nm>	[0..1]	Text		2727
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2727
	Other <Othr>	[0..1]	±		2728

76.1.32.5.1 Reference <Ref>

Presence: [0..1]

Definition: Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

Datatype: Max35Text on page 3409

76.1.32.5.2 CreditTransferDetails <CdtTrfDtls>

Presence: [0..1]

Definition: Payment instrument between a debtor and a creditor that flows through one or more financial institutions or systems.

CreditTransferDetails <CdtTrfDtls> contains the following **CreditTransfer9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Debtor <Dbtr>	[0..1]	±		2708
	DebtorAccount <DbtrAcct>	[0..1]			2709
	Name <Nm>	[0..1]	Text		2709
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2709
	Other <Othr>	[0..1]	±		2710
	DebtorAgent <DbtrAgt>	[0..1]			2710
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2710
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2711
	NameAndAddress <NmAndAdr>	[0..1]	±		2712
	LEI <LEI>	[0..1]	IdentifierSet		2712
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2713
	BranchIdentification <Brnchld>	[0..1]	±		2713
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2713
	Name <Nm>	[0..1]	Text		2713
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2713
	Other <Othr>	[0..1]	±		2714
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2714
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2715
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2715
	NameAndAddress <NmAndAdr>	[0..1]	±		2716
	LEI <LEI>	[0..1]	IdentifierSet		2716
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2717
	BranchIdentification <Brnchld>	[0..1]	±		2717
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2717
	Name <Nm>	[0..1]	Text		2717
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2717
	Other <Othr>	[0..1]	±		2718
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2718
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2719
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2719
	NameAndAddress <NmAndAdr>	[0..1]	±		2720

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LEI <LEI>	[0..1]	IdentifierSet		2720
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2721
	BranchIdentification <BrnchId>	[0..1]	±		2721
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2721
	Name <Nm>	[0..1]	Text		2721
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2721
	Other <Othr>	[0..1]	±		2722
	CreditorAgent <CdtrAgt>	[1..1]			2722
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2723
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2723
	NameAndAddress <NmAndAdr>	[0..1]	±		2724
	LEI <LEI>	[0..1]	IdentifierSet		2724
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2725
	BranchIdentification <BrnchId>	[0..1]	±		2725
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2725
	Name <Nm>	[0..1]	Text		2725
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2725
	Other <Othr>	[0..1]	±		2726
	Creditor <Cdtr>	[0..1]	±		2726
	CreditorAccount <CdtrAcct>	[1..1]			2727
	Name <Nm>	[0..1]	Text		2727
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2727
	Other <Othr>	[0..1]	±		2728

76.1.32.5.2.1 Debtor <Dbtr>

Presence: [0..1]

Definition: Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

Debtor <Dbtr> contains the following elements (see [PartyIdentification132](#) on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

76.1.32.5.2.2 DebtorAccount <DbtrAcct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

DebtorAccount <DbtrAcct> contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2709
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2709
	Other <Othr>	[0..1]	±		2710

76.1.32.5.2.2.1 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.32.5.2.2.2 IBAN <IBAN>

Presence: [0..1]

Definition: International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

Impacted by: [C16 IBAN](#)

Datatype: [IBAN2007Identifier](#) on page 3398

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

76.1.32.5.2.2.3 Other <Othr>

Presence: [0..1]

Definition: Unique identification of the account, as assigned by the account servicer, using an identification scheme.

Other <Othr> contains the following elements (see [GenericAccountIdentification1](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.32.5.2.3 DebtorAgent <DbtrAgt>

Presence: [0..1]

Definition: Financial institution servicing the account for the debtor.

DebtorAgent <DbtrAgt> contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2710
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2711
	NameAndAddress <NmAndAdr>	[0..1]	±		2712
	LEI <LEI>	[0..1]	IdentifierSet		2712
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2713
	BranchIdentification <BrnchId>	[0..1]	±		2713

76.1.32.5.2.3.1 BICFI <BICFI>

Presence: [0..1]

Definition: Identification of the financial institution expressed as a BIC.

Impacted by: C5 BICFI

Datatype: BICFIDec2014Identifier on page 3393

Constraints

- **BICFI**

(Rule)

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

76.1.32.5.2.3.2 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [0..1]

Definition: Information used to identify a member within a clearing system.

ClearingSystemMemberIdentification <ClrSysMmbld> contains one of the following elements (see [ClearingSystemMemberIdentification4Choice](#) on page 1806 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1806
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1807
Or	IrishNSCIDentification <IENSC>	[1..1]	IdentifierSet		1807
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1807
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1807
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1807
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1807
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1807
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1808
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1808
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1808
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1808
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1808
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1808
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1808
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1809
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1809
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1809
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1809

76.1.32.5.2.3.3 NameAndAddress <NmAndAdr>

Presence: [0..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.32.5.2.3.4 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIdentifier](#) on page 3400

76.1.32.5.2.3.5 ProprietaryIdentification <PrtryId>

Presence: [0..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

Datatype: [Max35Text](#) on page 3409

76.1.32.5.2.3.6 BranchIdentification <BrnchId>

Presence: [0..1]

Definition: Identification of a specific branch of the financial institution.

BranchIdentification <BrnchId> contains the following elements (see [BranchData2](#) on page 1852 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1853
	Name <Nm>	[0..1]	Text		1853
	PostalAddress <PstlAdr>	[0..1]	±		1853

76.1.32.5.2.4 DebtorAgentAccount <DbtrAgtAcct>

Presence: [0..1]

Definition: Identifies the account of the debtor's agent.

DebtorAgentAccount <DbtrAgtAcct> contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2713
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2713
	Other <Othr>	[0..1]	±		2714

76.1.32.5.2.4.1 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.32.5.2.4.2 IBAN <IBAN>

Presence: [0..1]

Definition: International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

Impacted by: C16 IBAN

Datatype: IBAN2007Identifier on page 3398

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

76.1.32.5.2.4.3 Other <Othr>

Presence: [0..1]

Definition: Unique identification of the account, as assigned by the account servicer, using an identification scheme.

Other <Othr> contains the following elements (see GenericAccountIdentification1 on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.32.5.2.5 IntermediaryAgent1 <IntrmyAgt1>

Presence: [0..1]

Definition: Agent between the debtor's agent and the creditor's agent.

IntermediaryAgent1 <IntrmyAgt1> contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2715
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2715
	NameAndAddress <NmAndAdr>	[0..1]	±		2716
	LEI <LEI>	[0..1]	IdentifierSet		2716
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2717
	BranchIdentification <BrnchId>	[0..1]	±		2717

76.1.32.5.2.5.1 BICFI <BICFI>

Presence: [0..1]

Definition: Identification of the financial institution expressed as a BIC.

Impacted by: C5 BICFI

Datatype: BICFIDec2014Identifier on page 3393

Constraints

- **BICFI**

(Rule)

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

76.1.32.5.2.5.2 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [0..1]

Definition: Information used to identify a member within a clearing system.

ClearingSystemMemberIdentification <ClrSysMmbld> contains one of the following elements (see [ClearingSystemMemberIdentification4Choice](#) on page 1806 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1806
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1807
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1807
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1807
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1807
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1807
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1807
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1807
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1808
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1808
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1808
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1808
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1808
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1808
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1808
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1809
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1809
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1809
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1809

76.1.32.5.2.5.3 NameAndAddress <NmAndAdr>

Presence: [0..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.32.5.2.5.4 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIdentifier](#) on page 3400

76.1.32.5.2.5.5 ProprietaryIdentification <PrtryId>

Presence: [0..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

Datatype: [Max35Text](#) on page 3409

76.1.32.5.2.5.6 BranchIdentification <BrnchId>

Presence: [0..1]

Definition: Identification of a specific branch of the financial institution.

BranchIdentification <BrnchId> contains the following elements (see [BranchData2](#) on page 1852 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1853
	Name <Nm>	[0..1]	Text		1853
	PostalAddress <PstlAdr>	[0..1]	±		1853

76.1.32.5.2.6 IntermediaryAgent1Account <IntrmyAgt1Acct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

IntermediaryAgent1Account <IntrmyAgt1Acct> contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2717
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2717
	Other <Othr>	[0..1]	±		2718

76.1.32.5.2.6.1 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.32.5.2.6.2 IBAN <IBAN>

Presence: [0..1]

Definition: International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

Impacted by: C16 IBAN

Datatype: IBAN2007Identifier on page 3398

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

76.1.32.5.2.6.3 Other <Othr>

Presence: [0..1]

Definition: Unique identification of the account, as assigned by the account servicer, using an identification scheme.

Other <Othr> contains the following elements (see GenericAccountIdentification1 on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.32.5.2.7 IntermediaryAgent2 <IntrmyAgt2>

Presence: [0..1]

Definition: Agent between the debtor's agent and the creditor's agent.

IntermediaryAgent2 <IntrmyAgt2> contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2719
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2719
	NameAndAddress <NmAndAdr>	[0..1]	±		2720
	LEI <LEI>	[0..1]	IdentifierSet		2720
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2721
	BranchIdentification <BrnchId>	[0..1]	±		2721

76.1.32.5.2.7.1 BICFI <BICFI>

Presence: [0..1]

Definition: Identification of the financial institution expressed as a BIC.

Impacted by: C5 BICFI

Datatype: BICFIDec2014Identifier on page 3393

Constraints

- **BICFI**

(Rule)

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

76.1.32.5.2.7.2 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [0..1]

Definition: Information used to identify a member within a clearing system.

ClearingSystemMemberIdentification <ClrSysMmbld> contains one of the following elements (see [ClearingSystemMemberIdentification4Choice](#) on page 1806 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1806
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1807
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1807
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1807
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1807
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1807
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1807
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1807
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1808
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1808
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1808
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1808
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1808
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1808
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1808
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1809
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1809
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1809
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1809

76.1.32.5.2.7.3 NameAndAddress <NmAndAdr>

Presence: [0..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.32.5.2.7.4 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIdentifier](#) on page 3400

76.1.32.5.2.7.5 ProprietaryIdentification <PrtryId>

Presence: [0..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

Datatype: [Max35Text](#) on page 3409

76.1.32.5.2.7.6 BranchIdentification <BrnchId>

Presence: [0..1]

Definition: Identification of a specific branch of the financial institution.

BranchIdentification <BrnchId> contains the following elements (see [BranchData2](#) on page 1852 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1853
	Name <Nm>	[0..1]	Text		1853
	PostalAddress <PstlAdr>	[0..1]	±		1853

76.1.32.5.2.8 IntermediaryAgent2Account <IntrmyAgt2Acct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

IntermediaryAgent2Account <IntrmyAgt2Acct> contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2721
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2721
	Other <Othr>	[0..1]	±		2722

76.1.32.5.2.8.1 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.32.5.2.8.2 IBAN <IBAN>

Presence: [0..1]

Definition: International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

Impacted by: C16 IBAN

Datatype: IBAN2007Identifier on page 3398

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

76.1.32.5.2.8.3 Other <Othr>

Presence: [0..1]

Definition: Unique identification of the account, as assigned by the account servicer, using an identification scheme.

Other <Othr> contains the following elements (see GenericAccountIdentification1 on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.32.5.2.9 CreditorAgent <CdtrAgt>

Presence: [1..1]

Definition: Financial institution servicing the account for the creditor.

CreditorAgent <CdrAgt> contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2723
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2723
	NameAndAddress <NmAndAdr>	[0..1]	±		2724
	LEI <LEI>	[0..1]	IdentifierSet		2724
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2725
	BranchIdentification <BrnchId>	[0..1]	±		2725

76.1.32.5.2.9.1 BICFI <BICFI>

Presence: [0..1]

Definition: Identification of the financial institution expressed as a BIC.

Impacted by: C5 BICFI

Datatype: BICFIDec2014Identifier on page 3393

Constraints

- **BICFI**

(Rule)

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

76.1.32.5.2.9.2 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [0..1]

Definition: Information used to identify a member within a clearing system.

ClearingSystemMemberIdentification <ClrSysMmbld> contains one of the following elements (see [ClearingSystemMemberIdentification4Choice](#) on page 1806 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1806
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1807
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1807
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1807
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1807
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1807
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1807
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1807
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1808
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1808
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1808
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1808
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1808
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1808
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1808
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1809
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1809
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1809
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1809

76.1.32.5.2.9.3 NameAndAddress <NmAndAdr>

Presence: [0..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.32.5.2.9.4 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for the party.

Datatype: [LEIdentifier](#) on page 3400

76.1.32.5.2.9.5 ProprietaryIdentification <PrtryId>

Presence: [0..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

Datatype: [Max35Text](#) on page 3409

76.1.32.5.2.9.6 BranchIdentification <BrnchId>

Presence: [0..1]

Definition: Identification of a specific branch of the financial institution.

BranchIdentification <BrnchId> contains the following elements (see [BranchData2](#) on page 1852 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1853
	Name <Nm>	[0..1]	Text		1853
	PostalAddress <PstlAdr>	[0..1]	±		1853

76.1.32.5.2.10 CreditorAgentAccount <CdtrAgtAcct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.

CreditorAgentAccount <CdtrAgtAcct> contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2725
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2725
	Other <Othr>	[0..1]	±		2726

76.1.32.5.2.10.1 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.32.5.2.10.2 IBAN <IBAN>

Presence: [0..1]

Definition: International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

Impacted by: C16 IBAN

Datatype: IBAN2007Identifier on page 3398

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

76.1.32.5.2.10.3 Other <Othr>

Presence: [0..1]

Definition: Unique identification of the account, as assigned by the account servicer, using an identification scheme.

Other <Othr> contains the following elements (see GenericAccountIdentification1 on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.32.5.2.11 Creditor <Cdtr>

Presence: [0..1]

Definition: Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

Creditor <Cdtr> contains the following elements (see [PartyIdentification132](#) on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	2602
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2602
	NameAndAddress <NmAndAdr>	[0..1]	±		2603
	ProprietaryIdentification <PrtryId>	[0..1]	±		2604
	LEI <LEI>	[0..1]	IdentifierSet		2604

76.1.32.5.2.12 CreditorAccount <CdtrAcct>

Presence: [1..1]

Definition: Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.

CreditorAccount <CdtrAcct> contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2727
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	2727
	Other <Othr>	[0..1]	±		2728

76.1.32.5.2.12.1 Name <Nm>

Presence: [0..1]

Definition: Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: [Max35Text](#) on page 3409

76.1.32.5.2.12.2 IBAN <IBAN>

Presence: [0..1]

Definition: International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

Impacted by: [C16 IBAN](#)

Datatype: [IBAN2007Identifier](#) on page 3398

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003
- *Error Text:* Invalid IBAN format or invalid check digits.

76.1.32.5.2.12.3 Other <Othr>

Presence: [0..1]

Definition: Unique identification of the account, as assigned by the account servicer, using an identification scheme.

Other <Othr> contains the following elements (see [GenericAccountIdentification1](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1588
	SchemeName <SchmeNm>	[0..1]			1588
{Or	Code <Cd>	[1..1]	CodeSet		1588
Or}	Proprietary <Prtry>	[1..1]	Text		1588
	Issuer <Issr>	[0..1]	Text		1588

76.1.32.6 PaymentInstrument16

Definition: Payment instrument for a type of order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderType <OrdrTp>	[1..1]			2728
{Or	Code <Cd>	[1..1]	CodeSet		2729
Or}	Proprietary <Prtry>	[1..1]	±		2729
	InstrumentType <InstrmTp>	[1..1]			2729
{Or	Code <Cd>	[1..1]	CodeSet		2730
Or}	Proprietary <Prtry>	[1..1]	±		2730
	AdditionalInformation <AddtlInf>	[0..*]	±		2730

76.1.32.6.1 OrderType <OrdrTp>

Presence: [1..1]

Definition: Type of order to which the payment instrument applies.

OrderType <OrdrTp> contains one of the following **FundOrderType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2729
Or}	Proprietary <Prtry>	[1..1]	±		2729

76.1.32.6.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of the investment fund order expressed as a code.

Datatype: [FundOrderType10Code on page 3284](#)

CodeName	Name	Definition
SUBS	Subscription	Investment fund order is a subscription.
RDIV	ReinvestmentOfDividend	Investment fund order is a dividend reinvestment (only applicable to a subscription).
REDM	Redemption	Investment fund order is a redemption.
RGSV	RegularSavingsPlan	Investment fund order is a regular savings plan (only applicable to a subscription).
WIDP	Withdrawal	Investment fund order is for a withdrawal investment plan (only applicable to a redemption).

76.1.32.6.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of the investment fund order expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.32.6.2 InstrumentType <InstrmTp>

Presence: [1..1]

Definition: Payment instrument for the order type.

InstrumentType <InstrmTp> contains one of the following **FundPaymentType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2730
Or}	Proprietary <Prtry>	[1..1]	±		2730

76.1.32.6.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of payment instrument expressed as a code.

Datatype: [FundPaymentType1Code](#) on page 3286

CodeName	Name	Definition
DRAF	BankersDraft	Payment instrument is a bankers draft.
CACC	CashAccount	Payment instrument is a cash account.
CHEQ	Cheque	Payment instrument is a cheque.
CRDT	CreditTransfer	Payment instrument is a credit transfer.
DDEB	DirectDebit	Payment instrument is a direct debit.
CARD	PaymentCard	Payment instrument is a payment card.

76.1.32.6.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of payment instrument expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.32.6.3 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the payment.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.32.7 SourceOfCash1Choice

Definition: Choice of formats for the source of the cash.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2731
Or}	Proprietary <Prtry>	[1..1]	±		2731

76.1.32.7.1 Code <Cd>

Presence: [1..1]

Definition: Source of cash expressed as a code.

Datatype: [SourceOfCash1Code on page 3357](#)

CodeName	Name	Definition
ALMY	Alimony	Income as a result of alimony.
CASH	CashProceeds	Income is cash proceeds from customers.
COMP	Compensation	Income is from compensation received.
EMIN	EmployeeIncome	Employee income.
GIFT	Gift	Income was a cash gift.
INHE	Inheritance	Cash from an inheritance.
INLQ	InsurancePremiumLiquidation	Income from the liquidation of an insurance premium.
REST	RealEstateSale	Income from the sale of real estate.
REDM	Redemption	Redemption of an investment fund.
REPY	RetirementPolicy	Income from a retirement policy.
SEAQ	SaleAquisitionCorporation	Sale and acquisition of a corporation.
SALE	SaleOfGoods	Sale of goods.
SVGS	Savings	Income from a savings plan.
SELF	SelfEmploymentIncome	Income from self-employment.
WINS	Winnings	Income from a cash win.

76.1.32.7.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Source of cash expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.32.8 PaymentTransaction71

Definition: Payment processes required to transfer cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashInOrOut <CshInOrOut>	[1..1]			2735
{Or	CashInPaymentInstrument <CshInPmtInstrm>	[1..1]			2738
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2740
	Type <Tp>	[1..1]	CodeSet		2740
	Number <Nb>	[1..1]	Text		2741
	HolderName <HldrNm>	[1..1]	Text		2741
	StartDate <StartDt>	[0..1]	YearMonth		2741
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2741
	CardIssuerName <CardIssrNm>	[0..1]	Text		2741
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2741
	SecurityCode <SctyCd>	[0..1]	Text		2742
	SequenceNumber <SeqNb>	[0..1]	Text		2742
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2742
	Reference <Ref>	[0..1]	Text		2742
	Debtor <Dbtr>	[0..1]	±		2742
	DebtorAccount <DbtrAcct>	[0..1]	±		2743
	DebtorAgent <DbtrAgt>	[0..1]	±		2743
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2743
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2743
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2744
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2744
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2744
	CreditorAgent <CdtrAgt>	[1..1]	±		2745
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2745
	Creditor <Cdtr>	[0..1]	±		2745
	CreditorAccount <CdtrAcct>	[1..1]	±		2745
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2746
Or	ChequeDetails <ChqDtls>	[1..1]			2746
	Number <Nb>	[0..1]	Text		2746
	PayeeIdentification <Pyeeld>	[1..1]	±		2747
	DraweeIdentification <Drweeld>	[0..1]	±		2747

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <Drwrlid>	[0..1]	±		2747
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2747
	Number <Nb>	[0..1]	Text		2748
	PayeeIdentification <Pyeeld>	[1..1]	±		2748
	DraweeIdentification <Drweeld>	[0..1]	±		2748
	DrawerIdentification <Drwrlid>	[0..1]	±		2748
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2749
	AccountIdentification <AcctId>	[0..1]	Text		2749
	Type <Tp>	[0..1]	±		2749
Or}	CashOutPaymentInstrument <CshOutPmtInstrm>	[1..1]			2750
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2751
	Reference <Ref>	[0..1]	Text		2752
	Debtor <Dbtr>	[0..1]	±		2752
	DebtorAccount <DbtrAcct>	[0..1]	±		2752
	DebtorAgent <DbtrAgt>	[0..1]	±		2753
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2753
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2753
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2753
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2754
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2754
	CreditorAgent <CdtrAgt>	[1..1]	±		2754
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2754
	Creditor <Cdtr>	[0..1]	±		2755
	CreditorAccount <CdtrAcct>	[1..1]	±		2755
Or	ChequeDetails <ChqDtls>	[1..1]			2755
	Number <Nb>	[0..1]	Text		2756
	PayeeIdentification <Pyeeld>	[1..1]	±		2756
	DraweeIdentification <Drweeld>	[0..1]	±		2756
	DrawerIdentification <Drwrlid>	[0..1]	±		2756
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2757
	Number <Nb>	[0..1]	Text		2757

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <Pyeeld>	[1..1]	±		2757
	DraweeIdentification <Drweeld>	[0..1]	±		2757
	DrawerIdentification <Drwrlid>	[0..1]	±		2758
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2758
	AccountIdentification <Acctld>	[0..1]	Text		2758
	Type <Tp>	[0..1]	±		2759

76.1.32.8.1 CashInOrOut <CshInOrOut>

Presence: [1..1]

Definition: Choice between cash-in or cash-out.

CashInOrOut <CshInOrOut> contains one of the following **CashInOrOut7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CashInPaymentInstrument <CshInPmtInstrm>	[1..1]			2738
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2740
	Type <Tp>	[1..1]	CodeSet		2740
	Number <Nb>	[1..1]	Text		2741
	HolderName <HldrNm>	[1..1]	Text		2741
	StartDate <StartDt>	[0..1]	YearMonth		2741
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2741
	CardIssuerName <CardIssrNm>	[0..1]	Text		2741
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2741
	SecurityCode <SctyCd>	[0..1]	Text		2742
	SequenceNumber <SeqNb>	[0..1]	Text		2742
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2742
	Reference <Ref>	[0..1]	Text		2742
	Debtor <Dbtr>	[0..1]	±		2742
	DebtorAccount <DbtrAcct>	[0..1]	±		2743
	DebtorAgent <DbtrAgt>	[0..1]	±		2743
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2743
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2743
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2744
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2744
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2744
	CreditorAgent <CdtrAgt>	[1..1]	±		2745
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2745
	Creditor <Cdtr>	[0..1]	±		2745
	CreditorAccount <CdtrAcct>	[1..1]	±		2745
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2746
Or	ChequeDetails <ChqDtls>	[1..1]			2746
	Number <Nb>	[0..1]	Text		2746
	PayeeIdentification <Pyeeld>	[1..1]	±		2747
	DraweeIdentification <Drweeld>	[0..1]	±		2747
	DrawerIdentification <Drwrld>	[0..1]	±		2747

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2747
	Number <Nb>	[0..1]	Text		2748
	Payeeldentification <Pyeeld>	[1..1]	±		2748
	Draweeldentification <Drweeld>	[0..1]	±		2748
	Draweridentification <Drwrlid>	[0..1]	±		2748
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2749
	Accountidentification <Acctid>	[0..1]	Text		2749
	Type <Tp>	[0..1]	±		2749
Or}	CashOutPaymentInstrument <CshOutPmtlnstrm>	[1..1]			2750
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2751
	Reference <Ref>	[0..1]	Text		2752
	Debtor <Dbtr>	[0..1]	±		2752
	DebtorAccount <DbtrAcct>	[0..1]	±		2752
	DebtorAgent <DbtrAgt>	[0..1]	±		2753
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2753
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2753
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2753
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2754
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2754
	CreditorAgent <CdtrAgt>	[1..1]	±		2754
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2754
	Creditor <Cdtr>	[0..1]	±		2755
	CreditorAccount <CdtrAcct>	[1..1]	±		2755
Or	ChequeDetails <ChqDtls>	[1..1]			2755
	Number <Nb>	[0..1]	Text		2756
	Payeeldentification <Pyeeld>	[1..1]	±		2756
	Draweeldentification <Drweeld>	[0..1]	±		2756
	Draweridentification <Drwrlid>	[0..1]	±		2756
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2757
	Number <Nb>	[0..1]	Text		2757
	Payeeldentification <Pyeeld>	[1..1]	±		2757

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Draweeldentification <Drweeld>	[0..1]	±		2757
	DrawerIdentification <Drwrlid>	[0..1]	±		2758
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2758
	AccountIdentification <Acctld>	[0..1]	Text		2758
	Type <Tp>	[0..1]	±		2759

76.1.32.8.1.1 CashInPaymentInstrument <CshInPmtInstrm>

Presence: [1..1]

Definition: Payment instrument for the cash-in flow.

CashInPaymentInstrument <CshInPmtInstrm> contains one of the following
PaymentInstrument20Choice elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2740
	Type <Tp>	[1..1]	CodeSet		2740
	Number <Nb>	[1..1]	Text		2741
	HolderName <HldrNm>	[1..1]	Text		2741
	StartDate <StartDt>	[0..1]	YearMonth		2741
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2741
	CardIssuerName <CardIssrNm>	[0..1]	Text		2741
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2741
	SecurityCode <SctyCd>	[0..1]	Text		2742
	SequenceNumber <SeqNb>	[0..1]	Text		2742
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2742
	Reference <Ref>	[0..1]	Text		2742
	Debtor <Dbtr>	[0..1]	±		2742
	DebtorAccount <DbtrAcct>	[0..1]	±		2743
	DebtorAgent <DbtrAgt>	[0..1]	±		2743
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2743
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2743
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2744
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2744
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2744
	CreditorAgent <CdtrAgt>	[1..1]	±		2745
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2745
	Creditor <Cdtr>	[0..1]	±		2745
	CreditorAccount <CdtrAcct>	[1..1]	±		2745
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2746
Or	ChequeDetails <ChqDtls>	[1..1]			2746
	Number <Nb>	[0..1]	Text		2746
	PayeeIdentification <PyeeId>	[1..1]	±		2747
	DraweeIdentification <DrweeId>	[0..1]	±		2747
	DrawerIdentification <DrwrId>	[0..1]	±		2747

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2747
	Number <Nb>	[0..1]	Text		2748
	PayeeIdentification <PyeeId>	[1..1]	±		2748
	DraweeIdentification <DrweeId>	[0..1]	±		2748
	DrawerIdentification <DrwrId>	[0..1]	±		2748
Or)	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2749
	AccountIdentification <AcctId>	[0..1]	Text		2749
	Type <Tp>	[0..1]	±		2749

76.1.32.8.1.1.1 PaymentCardDetails <PmtCardDtls>

Presence: [1..1]

Definition: Electronic money product that provides the cardholder with a portable and specialised computer device, which typically contains a microprocessor.

PaymentCardDetails <PmtCardDtls> contains the following **PaymentCard25** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2740
	Number <Nb>	[1..1]	Text		2741
	HolderName <HldrNm>	[1..1]	Text		2741
	StartDate <StartDt>	[0..1]	YearMonth		2741
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2741
	CardIssuerName <CardIssrNm>	[0..1]	Text		2741
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2741
	SecurityCode <SctyCd>	[0..1]	Text		2742
	SequenceNumber <SeqNb>	[0..1]	Text		2742

76.1.32.8.1.1.1.1 Type <Tp>

Presence: [1..1]

Definition: Type of card, for example, credit card.

Datatype: [CardType1Code on page 3253](#)

CodeName	Name	Definition
CRDT	CreditCard	Card where the holder has been granted a line of credit. The card enables the holder to make purchases and withdraw cash up to a pre-arranged ceiling.

CodeName	Name	Definition
DBIT	DebitCard	Card enabling the holder to have its purchases directly charged to its account. The card may also combine other functions, for example, cash card or cheque guaranteed card.

76.1.32.8.1.1.1.2 Number <Nb>

Presence: [1..1]

Definition: Number embossed on a card that links the card to the account owner and account servicer.

Datatype: [Max35Text on page 3409](#)

76.1.32.8.1.1.1.3 HolderName <HldrNm>

Presence: [1..1]

Definition: Party entitled by a card issuer to use a card.

Datatype: [Max35Text on page 3409](#)

76.1.32.8.1.1.1.4 StartDate <StartDt>

Presence: [0..1]

Definition: Year and month the card is available for use.

Datatype: [ISOYearMonth on page 3411](#)

76.1.32.8.1.1.1.5 ExpiryDate <XpryDt>

Presence: [1..1]

Definition: Year and month the card expires.

Datatype: [ISOYearMonth on page 3411](#)

76.1.32.8.1.1.1.6 CardIssuerName <CardIssrNm>

Presence: [0..1]

Definition: Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.

Datatype: [Max35Text on page 3409](#)

76.1.32.8.1.1.1.7 CardIssuerIdentification <CardIssrId>

Presence: [0..1]

Definition: Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.

CardIssuerIdentification <CardIssrId> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.8.1.1.1.8 SecurityCode <SctyCd>

Presence: [0..1]

Definition: Security code written on, or in, the card.

Datatype: Max35Text on page 3409

76.1.32.8.1.1.1.9 SequenceNumber <SeqNb>

Presence: [0..1]

Definition: Number distinguishing two or more payment cards with the same account number.

Datatype: Max3Text on page 3409

76.1.32.8.1.1.2 CreditTransferDetails <CdtTrfDtls>

Presence: [1..1]

Definition: Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.

CreditTransferDetails <CdtTrfDtls> contains the following **CreditTransfer8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2742
	Debtor <Dbtr>	[0..1]	±		2742
	DebtorAccount <DbtrAcct>	[0..1]	±		2743
	DebtorAgent <DbtrAgt>	[0..1]	±		2743
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2743
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2743
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2744
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2744
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2744
	CreditorAgent <CdtrAgt>	[1..1]	±		2745
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2745
	Creditor <Cdtr>	[0..1]	±		2745
	CreditorAccount <CdtrAcct>	[1..1]	±		2745

76.1.32.8.1.1.2.1 Reference <Ref>

Presence: [0..1]

Definition: Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

Datatype: Max35Text on page 3409

76.1.32.8.1.1.2.2 Debtor <Dbtr>

Presence: [0..1]

Definition: Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

Debtor <Dbtr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.8.1.1.2.3 DebtorAccount <DbtrAcct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

DebtorAccount <DbtrAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.8.1.1.2.4 DebtorAgent <DbtrAgt>

Presence: [0..1]

Definition: Financial institution servicing an account for the debtor.

DebtorAgent <DbtrAgt> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.8.1.1.2.5 DebtorAgentAccount <DbtrAgtAcct>

Presence: [0..1]

Definition: Identifies the account of the debtor's agent.

DebtorAgentAccount <DbtrAgtAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.8.1.1.2.6 IntermediaryAgent1 <IntrmyAgt1>

Presence: [0..1]

Definition: Agent between the debtor's agent and the creditor's agent.

IntermediaryAgent1 <IntrmyAgt1> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.8.1.1.2.7 IntermediaryAgent1Account <IntrmyAgt1Acct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

IntermediaryAgent1Account <IntrmyAgt1Acct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.8.1.1.2.8 IntermediaryAgent2 <IntrmyAgt2>

Presence: [0..1]

Definition: Agent between the debtor's agent and the creditor's agent.

IntermediaryAgent2 <IntrmyAgt2> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.8.1.1.2.9 IntermediaryAgent2Account <IntrmyAgt2Acct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

IntermediaryAgent2Account <IntrmyAgt2Acct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.8.1.1.2.10 CreditorAgent <CdtrAgt>

Presence: [1..1]

Definition: Financial institution servicing an account for the creditor.

CreditorAgent <CdtrAgt> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.8.1.1.2.11 CreditorAgentAccount <CdtrAgtAcct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.

CreditorAgentAccount <CdtrAgtAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.8.1.1.2.12 Creditor <Cdtr>

Presence: [0..1]

Definition: Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

Creditor <Cdtr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.8.1.1.2.13 CreditorAccount <CdtrAcct>

Presence: [1..1]

Definition: Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.

CreditorAccount <CdtrAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.8.1.1.3 DirectDebitDetails <DrctDbtDtls>

Presence: [1..1]

Definition: Instruction, initiated by the creditor, to debit a debtor's account in favour of the creditor. A direct debit can be pre-authorised or not. In most countries, authorisation is in the form of a mandate between the debtor and creditor.

DirectDebitDetails <DrctDbtDtls> contains the following elements (see [DirectDebitMandate6](#) on page 1837 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1837
	Debtor <Dbtr>	[0..1]	±		1838
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1838
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1838
	Creditor <Cdtr>	[0..1]	±		1838
	DebtorAgent <DbtrAgt>	[1..1]	±		1838
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1839
	CreditorAgent <CdtrAgt>	[0..1]	±		1839
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1839
	RegistrationIdentification <RegnId>	[0..1]	Text		1839
	MandatIdentification <MndtId>	[0..1]	Text		1840

76.1.32.8.1.1.4 ChequeDetails <ChqDtls>

Presence: [1..1]

Definition: Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

ChequeDetails <ChqDtls> contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2746
	PayeeIdentification <Pyeeld>	[1..1]	±		2747
	DraweeIdentification <Drweeld>	[0..1]	±		2747
	DrawerIdentification <Drwrld>	[0..1]	±		2747

76.1.32.8.1.1.4.1 Number <Nb>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a cheque as assigned by the financial institution.

Datatype: [Max35Text](#) on page 3409

76.1.32.8.1.1.4.2 Payeeldidentification <Pyeeld>

Presence: [1..1]

Definition: Party to which a cheque is made payable.

Payeeldidentification <Pyeeld> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.8.1.1.4.3 Draweeldidentification <Drweeld>

Presence: [0..1]

Definition: Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

Draweeldidentification <Drweeld> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.8.1.1.4.4 Draweridentification <Drwrld>

Presence: [0..1]

Definition: Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

Draweridentification <Drwrld> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.8.1.1.5 BankersDraftDetails <BkrsDrftDtls>

Presence: [1..1]

Definition: Cheque drawn by a bank on itself or its agent. A person who owes money to another buys the draft from a bank for cash and hands it to the creditor.

BankersDraftDetails <BkrsDrftDtls> contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2748
	PayeeIdentification <Pyeeld>	[1..1]	±		2748
	DraweeIdentification <Drweeld>	[0..1]	±		2748
	DrawerIdentification <Drwrld>	[0..1]	±		2748

76.1.32.8.1.1.5.1 Number <Nb>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a cheque as assigned by the financial institution.

Datatype: [Max35Text on page 3409](#)

76.1.32.8.1.1.5.2 PayeeIdentification <Pyeeld>

Presence: [1..1]

Definition: Party to which a cheque is made payable.

PayeeIdentification <Pyeeld> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.8.1.1.5.3 DraweeIdentification <Drweeld>

Presence: [0..1]

Definition: Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

DraweeIdentification <Drweeld> contains the following elements (see [FinancialInstitutionIdentification10 on page 1850](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.8.1.1.5.4 DrawerIdentification <Drwrld>

Presence: [0..1]

Definition: Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

DrawerIdentification <Drwrld> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.8.1.1.6 CashAccountDetails <CshAcctDtls>

Presence: [1..1]

Definition: Part of the investment account to or from which cash entries are made.

Impacted by: [C1 AccountElementRule](#)

CashAccountDetails <CshAcctDtls> contains the following **InvestmentAccount60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2749
	Type <Tp>	[0..1]	±		2749

Constraints

- **AccountElementRule**

(Rule)

Either AccountIdentification or Type must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.32.8.1.1.6.1 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text](#) on page 3409

76.1.32.8.1.1.6.2 Type <Tp>

Presence: [0..1]

Definition: Account type.

Type <Tp> contains one of the following elements (see [InvestmentAccountType1Choice](#) on page 2148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2148
Or}	Proprietary <Prtry>	[1..1]	±		2149

76.1.32.8.1.2 CashOutPaymentInstrument <CshOutPmtInstrm>

Presence: [1..1]

Definition: Payment instrument for the cash-out flow.

CashOutPaymentInstrument <CshOutPmtInstrm> contains one of the following **PaymentInstrument21Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2751
	Reference <Ref>	[0..1]	Text		2752
	Debtor <Dbtr>	[0..1]	±		2752
	DebtorAccount <DbtrAcct>	[0..1]	±		2752
	DebtorAgent <DbtrAgt>	[0..1]	±		2753
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2753
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2753
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2753
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2754
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2754
	CreditorAgent <CdtrAgt>	[1..1]	±		2754
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2754
	Creditor <Cdtr>	[0..1]	±		2755
	CreditorAccount <CdtrAcct>	[1..1]	±		2755
Or	ChequeDetails <ChqDtls>	[1..1]			2755
	Number <Nb>	[0..1]	Text		2756
	PayeeIdentification <Pyeeld>	[1..1]	±		2756
	DraweeIdentification <Drweeld>	[0..1]	±		2756
	DrawerIdentification <Drwrlid>	[0..1]	±		2756
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2757
	Number <Nb>	[0..1]	Text		2757
	PayeeIdentification <Pyeeld>	[1..1]	±		2757
	DraweeIdentification <Drweeld>	[0..1]	±		2757
	DrawerIdentification <Drwrlid>	[0..1]	±		2758
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2758
	AccountIdentification <Acctld>	[0..1]	Text		2758
	Type <Tp>	[0..1]	±		2759

76.1.32.8.1.2.1 CreditTransferDetails <CdtTrfDtls>

Presence: [1..1]

Definition: Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.

CreditTransferDetails <CdtTrfDtls> contains the following **CreditTransfer8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2752
	Debtor <Dbtr>	[0..1]	±		2752
	DebtorAccount <DbtrAcct>	[0..1]	±		2752
	DebtorAgent <DbtrAgt>	[0..1]	±		2753
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2753
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2753
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2753
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2754
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2754
	CreditorAgent <CdtrAgt>	[1..1]	±		2754
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2754
	Creditor <Cdtr>	[0..1]	±		2755
	CreditorAccount <CdtrAcct>	[1..1]	±		2755

76.1.32.8.1.2.1.1 Reference <Ref>

Presence: [0..1]

Definition: Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

Datatype: [Max35Text on page 3409](#)

76.1.32.8.1.2.1.2 Debtor <Dbtr>

Presence: [0..1]

Definition: Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

Debtor <Dbtr> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.8.1.2.1.3 DebtorAccount <DbtrAcct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

DebtorAccount <DbtrAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.8.1.2.1.4 DebtorAgent <DbtrAgt>

Presence: [0..1]

Definition: Financial institution servicing an account for the debtor.

DebtorAgent <DbtrAgt> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.8.1.2.1.5 DebtorAgentAccount <DbtrAgtAcct>

Presence: [0..1]

Definition: Identifies the account of the debtor's agent.

DebtorAgentAccount <DbtrAgtAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.8.1.2.1.6 IntermediaryAgent1 <IntrmyAgt1>

Presence: [0..1]

Definition: Agent between the debtor's agent and the creditor's agent.

IntermediaryAgent1 <IntrmyAgt1> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.8.1.2.1.7 IntermediaryAgent1Account <IntrmyAgt1Acct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

IntermediaryAgent1Account <IntrmyAgt1Acct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.8.1.2.1.8 IntermediaryAgent2 <IntrmyAgt2>

Presence: [0..1]

Definition: Agent between the debtor's agent and the creditor's agent.

IntermediaryAgent2 <IntrmyAgt2> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.8.1.2.1.9 IntermediaryAgent2Account <IntrmyAgt2Acct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

IntermediaryAgent2Account <IntrmyAgt2Acct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.8.1.2.1.10 CreditorAgent <CdtrAgt>

Presence: [1..1]

Definition: Financial institution servicing an account for the creditor.

CreditorAgent <CdtrAgt> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.8.1.2.1.11 CreditorAgentAccount <CdtrAgtAcct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.

CreditorAgentAccount <CdtrAgtAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.8.1.2.1.12 Creditor <Cdtr>

Presence: [0..1]

Definition: Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

Creditor <Cdtr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.8.1.2.1.13 CreditorAccount <CdtrAcct>

Presence: [1..1]

Definition: Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.

CreditorAccount <CdtrAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.8.1.2.2 ChequeDetails <ChqDtls>

Presence: [1..1]

Definition: Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

ChequeDetails <ChqDtIs> contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2756
	PayeeIdentification <Pyeeld>	[1..1]	±		2756
	DraweeIdentification <Drweeld>	[0..1]	±		2756
	DrawerIdentification <Drwrlid>	[0..1]	±		2756

76.1.32.8.1.2.2.1 Number <Nb>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a cheque as assigned by the financial institution.

Datatype: [Max35Text on page 3409](#)

76.1.32.8.1.2.2.2 PayeeIdentification <Pyeeld>

Presence: [1..1]

Definition: Party to which a cheque is made payable.

PayeeIdentification <Pyeeld> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.8.1.2.2.3 DraweeIdentification <Drweeld>

Presence: [0..1]

Definition: Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

DraweeIdentification <Drweeld> contains the following elements (see [FinancialInstitutionIdentification10 on page 1850](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.8.1.2.2.4 DrawerIdentification <Drwrlid>

Presence: [0..1]

Definition: Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

DrawerIdentification <Drwrlid> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.8.1.2.3 BankersDraftDetails <BkrsDrftDtls>

Presence: [1..1]

Definition: Cheque drawn by a bank on itself or its agent. A person who owes money to another buys the draft from a bank for cash and hands it to the creditor.

BankersDraftDetails <BkrsDrftDtls> contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2757
	PayeeIdentification <Pyeeld>	[1..1]	±		2757
	DraweeIdentification <Drweeld>	[0..1]	±		2757
	DrawerIdentification <Drwrlid>	[0..1]	±		2758

76.1.32.8.1.2.3.1 Number <Nb>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a cheque as assigned by the financial institution.

Datatype: [Max35Text](#) on page 3409

76.1.32.8.1.2.3.2 PayeeIdentification <Pyeeld>

Presence: [1..1]

Definition: Party to which a cheque is made payable.

PayeeIdentification <Pyeeld> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.8.1.2.3.3 DraweeIdentification <Drweeld>

Presence: [0..1]

Definition: Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

DraweeIdentification <Drweeld> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.8.1.2.3.4 DrawerIdentification <Drwrlid>

Presence: [0..1]

Definition: Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

DrawerIdentification <Drwrlid> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.8.1.2.4 CashAccountDetails <CshAcctDtls>

Presence: [1..1]

Definition: Part of the investment account to or from which cash entries are made.

Impacted by: [C1 AccountElementRule](#)

CashAccountDetails <CshAcctDtls> contains the following **InvestmentAccount60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2758
	Type <Tp>	[0..1]	±		2759

Constraints

- **AccountElementRule**

(Rule)

Either AccountIdentification or Type must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.32.8.1.2.4.1 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text on page 3409](#)

76.1.32.8.1.2.4.2 Type <Tp>

Presence: [0..1]

Definition: Account type.

Type <Tp> contains one of the following elements (see [InvestmentAccountType1Choice on page 2148](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2148
Or}	Proprietary <Prtry>	[1..1]	±		2149

76.1.32.9 PaymentTransaction70

Definition: Payment processes required to transfer cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2761
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2763
	Type <Tp>	[1..1]	CodeSet		2763
	Number <Nb>	[1..1]	Text		2764
	HolderName <HldrNm>	[1..1]	Text		2764
	StartDate <StartDt>	[0..1]	YearMonth		2764
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2764
	CardIssuerName <CardIssrNm>	[0..1]	Text		2764
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2764
	SecurityCode <SctyCd>	[0..1]	Text		2765
	SequenceNumber <SeqNb>	[0..1]	Text		2765
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2765
	Reference <Ref>	[0..1]	Text		2765
	Debtor <Dbtr>	[0..1]	±		2765
	DebtorAccount <DbtrAcct>	[0..1]	±		2766
	DebtorAgent <DbtrAgt>	[0..1]	±		2766
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2766
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2766
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2767
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2767
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2767
	CreditorAgent <CdtrAgt>	[1..1]	±		2768
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2768
	Creditor <Cdtr>	[0..1]	±		2768
	CreditorAccount <CdtrAcct>	[1..1]	±		2768
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2769
Or	ChequeDetails <ChqDtls>	[1..1]			2769
	Number <Nb>	[0..1]	Text		2769
	PayeeIdentification <Pyeeld>	[1..1]	±		2770
	DraweeIdentification <Drweeld>	[0..1]	±		2770
	DrawerIdentification <Drwrlid>	[0..1]	±		2770

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2770
	Number <Nb>	[0..1]	Text		2771
	PayeeIdentification <Pyeeld>	[1..1]	±		2771
	DraweeIdentification <Drweeld>	[0..1]	±		2771
	DrawerIdentification <Drwrld>	[0..1]	±		2771
Or)	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2772
	AccountIdentification <Acctld>	[0..1]	Text		2772
	Type <Tp>	[0..1]	±		2772

76.1.32.9.1 PaymentInstrument <PmtInstrm>

Presence: [1..1]

Definition: Choice between types of payment instrument, for example, cheque, credit transfer, direct debit, investment account or payment card.

PaymentInstrument <PmtInstrm> contains one of the following **PaymentInstrument20Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2763
	Type <Tp>	[1..1]	CodeSet		2763
	Number <Nb>	[1..1]	Text		2764
	HolderName <HldrNm>	[1..1]	Text		2764
	StartDate <StartDt>	[0..1]	YearMonth		2764
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2764
	CardIssuerName <CardIssrNm>	[0..1]	Text		2764
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2764
	SecurityCode <SctyCd>	[0..1]	Text		2765
	SequenceNumber <SeqNb>	[0..1]	Text		2765
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2765
	Reference <Ref>	[0..1]	Text		2765
	Debtor <Dbtr>	[0..1]	±		2765
	DebtorAccount <DbtrAcct>	[0..1]	±		2766
	DebtorAgent <DbtrAgt>	[0..1]	±		2766
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2766
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2766
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2767
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2767
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2767
	CreditorAgent <CdtrAgt>	[1..1]	±		2768
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2768
	Creditor <Cdtr>	[0..1]	±		2768
	CreditorAccount <CdtrAcct>	[1..1]	±		2768
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2769
Or	ChequeDetails <ChqDtls>	[1..1]			2769
	Number <Nb>	[0..1]	Text		2769
	PayeeIdentification <Pyeeld>	[1..1]	±		2770
	DraweeIdentification <Drweeld>	[0..1]	±		2770
	DrawerIdentification <Drwrlid>	[0..1]	±		2770

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2770
	Number <Nb>	[0..1]	Text		2771
	PayeeIdentification <PyeeId>	[1..1]	±		2771
	DraweeIdentification <DrweeId>	[0..1]	±		2771
	DrawerIdentification <DrwrId>	[0..1]	±		2771
Or)	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2772
	AccountIdentification <AcctId>	[0..1]	Text		2772
	Type <Tp>	[0..1]	±		2772

76.1.32.9.1.1 PaymentCardDetails <PmtCardDtls>

Presence: [1..1]

Definition: Electronic money product that provides the cardholder with a portable and specialised computer device, which typically contains a microprocessor.

PaymentCardDetails <PmtCardDtls> contains the following **PaymentCard25** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2763
	Number <Nb>	[1..1]	Text		2764
	HolderName <HldrNm>	[1..1]	Text		2764
	StartDate <StartDt>	[0..1]	YearMonth		2764
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2764
	CardIssuerName <CardIssrNm>	[0..1]	Text		2764
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2764
	SecurityCode <SctyCd>	[0..1]	Text		2765
	SequenceNumber <SeqNb>	[0..1]	Text		2765

76.1.32.9.1.1.1 Type <Tp>

Presence: [1..1]

Definition: Type of card, for example, credit card.

Datatype: [CardType1Code on page 3253](#)

CodeName	Name	Definition
CRDT	CreditCard	Card where the holder has been granted a line of credit. The card enables the holder to make purchases and withdraw cash up to a pre-arranged ceiling.

CodeName	Name	Definition
DBIT	DebitCard	Card enabling the holder to have its purchases directly charged to its account. The card may also combine other functions, for example, cash card or cheque guaranteed card.

76.1.32.9.1.1.2 Number <Nb>

Presence: [1..1]

Definition: Number embossed on a card that links the card to the account owner and account servicer.

Datatype: [Max35Text on page 3409](#)

76.1.32.9.1.1.3 HolderName <HldrNm>

Presence: [1..1]

Definition: Party entitled by a card issuer to use a card.

Datatype: [Max35Text on page 3409](#)

76.1.32.9.1.1.4 StartDate <StartDt>

Presence: [0..1]

Definition: Year and month the card is available for use.

Datatype: [ISOYearMonth on page 3411](#)

76.1.32.9.1.1.5 ExpiryDate <XpryDt>

Presence: [1..1]

Definition: Year and month the card expires.

Datatype: [ISOYearMonth on page 3411](#)

76.1.32.9.1.1.6 CardIssuerName <CardIssrNm>

Presence: [0..1]

Definition: Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.

Datatype: [Max35Text on page 3409](#)

76.1.32.9.1.1.7 CardIssuerIdentification <CardIssrId>

Presence: [0..1]

Definition: Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.

CardIssuerIdentification <CardIssrId> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.9.1.1.8 SecurityCode <SctyCd>

Presence: [0..1]

Definition: Security code written on, or in, the card.

Datatype: Max35Text on page 3409

76.1.32.9.1.1.9 SequenceNumber <SeqNb>

Presence: [0..1]

Definition: Number distinguishing two or more payment cards with the same account number.

Datatype: Max3Text on page 3409

76.1.32.9.1.2 CreditTransferDetails <CdtTrfDtls>

Presence: [1..1]

Definition: Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.

CreditTransferDetails <CdtTrfDtls> contains the following **CreditTransfer8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2765
	Debtor <Dbtr>	[0..1]	±		2765
	DebtorAccount <DbtrAcct>	[0..1]	±		2766
	DebtorAgent <DbtrAgt>	[0..1]	±		2766
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2766
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2766
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2767
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2767
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2767
	CreditorAgent <CdtrAgt>	[1..1]	±		2768
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2768
	Creditor <Cdtr>	[0..1]	±		2768
	CreditorAccount <CdtrAcct>	[1..1]	±		2768

76.1.32.9.1.2.1 Reference <Ref>

Presence: [0..1]

Definition: Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

Datatype: Max35Text on page 3409

76.1.32.9.1.2.2 Debtor <Dbtr>

Presence: [0..1]

Definition: Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

Debtor <Dbtr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.9.1.2.3 DebtorAccount <DbtrAcct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

DebtorAccount <DbtrAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.9.1.2.4 DebtorAgent <DbtrAgt>

Presence: [0..1]

Definition: Financial institution servicing an account for the debtor.

DebtorAgent <DbtrAgt> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.9.1.2.5 DebtorAgentAccount <DbtrAgtAcct>

Presence: [0..1]

Definition: Identifies the account of the debtor's agent.

DebtorAgentAccount <DbtrAgtAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.9.1.2.6 IntermediaryAgent1 <IntrmyAgt1>

Presence: [0..1]

Definition: Agent between the debtor's agent and the creditor's agent.

IntermediaryAgent1 <IntrmyAgt1> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.9.1.2.7 IntermediaryAgent1Account <IntrmyAgt1Acct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

IntermediaryAgent1Account <IntrmyAgt1Acct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.9.1.2.8 IntermediaryAgent2 <IntrmyAgt2>

Presence: [0..1]

Definition: Agent between the debtor's agent and the creditor's agent.

IntermediaryAgent2 <IntrmyAgt2> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.9.1.2.9 IntermediaryAgent2Account <IntrmyAgt2Acct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

IntermediaryAgent2Account <IntrmyAgt2Acct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.9.1.2.10 CreditorAgent <CdtrAgt>

Presence: [1..1]

Definition: Financial institution servicing an account for the creditor.

CreditorAgent <CdtrAgt> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.9.1.2.11 CreditorAgentAccount <CdtrAgtAcct>

Presence: [0..1]

Definition: Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.

CreditorAgentAccount <CdtrAgtAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.9.1.2.12 Creditor <Cdtr>

Presence: [0..1]

Definition: Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

Creditor <Cdtr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.9.1.2.13 CreditorAccount <CdtrAcct>

Presence: [1..1]

Definition: Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.

CreditorAccount <CdtrAcct> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.32.9.1.3 DirectDebitDetails <DrctDbtDtIs>

Presence: [1..1]

Definition: Instruction, initiated by the creditor, to debit a debtor's account in favour of the creditor. A direct debit can be pre-authorised or not. In most countries, authorisation is in the form of a mandate between the debtor and creditor.

DirectDebitDetails <DrctDbtDtIs> contains the following elements (see [DirectDebitMandate6](#) on page 1837 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1837
	Debtor <Dbtr>	[0..1]	±		1838
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1838
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1838
	Creditor <Cdtr>	[0..1]	±		1838
	DebtorAgent <DbtrAgt>	[1..1]	±		1838
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1839
	CreditorAgent <CdtrAgt>	[0..1]	±		1839
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1839
	RegistrationIdentification <RegnId>	[0..1]	Text		1839
	MandatIdentification <MndtId>	[0..1]	Text		1840

76.1.32.9.1.4 ChequeDetails <ChqDtIs>

Presence: [1..1]

Definition: Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

ChequeDetails <ChqDtIs> contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2769
	PayeeIdentification <Pyeeld>	[1..1]	±		2770
	DraweeIdentification <Drweeld>	[0..1]	±		2770
	DrawerIdentification <Drwrld>	[0..1]	±		2770

76.1.32.9.1.4.1 Number <Nb>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a cheque as assigned by the financial institution.

Datatype: [Max35Text](#) on page 3409

76.1.32.9.1.4.2 Payeeldentification <Pyeeld>

Presence: [1..1]

Definition: Party to which a cheque is made payable.

Payeeldentification <Pyeeld> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.9.1.4.3 Draweeldentification <Drweeld>

Presence: [0..1]

Definition: Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

Draweeldentification <Drweeld> contains the following elements (see [FinancialInstitutionIdentification10](#) on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.9.1.4.4 DrawerIdentification <Drwrld>

Presence: [0..1]

Definition: Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

DrawerIdentification <Drwrld> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.9.1.5 BankersDraftDetails <BkrsDrftDtls>

Presence: [1..1]

Definition: Cheque drawn by a bank on itself or its agent. A person who owes money to another buys the draft from a bank for cash and hands it to the creditor.

BankersDraftDetails <BkrsDrftDtls> contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2771
	PayeeIdentification <Pyeeld>	[1..1]	±		2771
	DraweeIdentification <Drweeld>	[0..1]	±		2771
	DrawerIdentification <Drwrlid>	[0..1]	±		2771

76.1.32.9.1.5.1 Number <Nb>

Presence: [0..1]

Definition: Unique and unambiguous identifier for a cheque as assigned by the financial institution.

Datatype: [Max35Text on page 3409](#)

76.1.32.9.1.5.2 PayeeIdentification <Pyeeld>

Presence: [1..1]

Definition: Party to which a cheque is made payable.

PayeeIdentification <Pyeeld> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.9.1.5.3 DraweeIdentification <Drweeld>

Presence: [0..1]

Definition: Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

DraweeIdentification <Drweeld> contains the following elements (see [FinancialInstitutionIdentification10 on page 1850](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1850
	LEI <LEI>	[0..1]	IdentifierSet		1850

76.1.32.9.1.5.4 DrawerIdentification <Drwrlid>

Presence: [0..1]

Definition: Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

DrawerIdentification <Drwrld> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.32.9.1.6 CashAccountDetails <CshAcctDtls>

Presence: [1..1]

Definition: Part of the investment account to or from which cash entries are made.

Impacted by: [C1 AccountElementRule](#)

CashAccountDetails <CshAcctDtls> contains the following **InvestmentAccount60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2772
	Type <Tp>	[0..1]	±		2772

Constraints

- **AccountElementRule**

(Rule)

Either AccountIdentification or Type must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.32.9.1.6.1 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: [Max35Text](#) on page 3409

76.1.32.9.1.6.2 Type <Tp>

Presence: [0..1]

Definition: Account type.

Type <Tp> contains one of the following elements (see [InvestmentAccountType1Choice](#) on page 2148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2148
Or}	Proprietary <Prtry>	[1..1]	±		2149

76.1.33 Person Identification

76.1.33.1 BeneficiaryInformation1

Definition: Information about the beneficial owner.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficiaryIdentification <Bnfcryld>	[0..1]	±		2773
	ERISAEligibility <ERISAEIgbly>	[1..1]	CodeSet		2774
	ERISARate <ERISARate>	[0..1]	Rate		2774
	BenefitPlanDeclarationIndicator <BnftPlanDclrtnInd>	[1..1]	Indicator		2774
	NoChangeToBeneficiaryDetailsIndicator <NoChngToBnfcryDtIsInd>	[1..1]	Indicator		2775

Constraints

- **ERISAEligibilityRule**

(Rule)

If ERISAEligibility is ELIG, then ERISARate must be present.

76.1.33.1.1 BeneficiaryIdentification <Bnfcryld>

Presence: [0..1]

Definition: Identification of the beneficial owner.

BeneficiaryIdentification <Bnfcryld> contains the following elements (see [IndividualPerson15](#) on page 2813 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2813
	BirthDate <BirthDt>	[0..1]	Date		2813
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2813
	OtherIdentification <OthrlId>	[0..1]			2813
	Identification <Id>	[1..1]	Text		2814
	Issuer <Issr>	[0..1]	Text		2814
	OtherIdentificationType <OthrlIdTp>	[0..1]			2814
{Or	IdentificationType <IdTp>	[1..1]	CodeSet		2814
Or}	Proprietary <Prtry>	[1..1]	±		2815
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2815

76.1.33.1.2 ERISAEligibility <ERISAEIgbly>

Presence: [1..1]

Definition: Eligibility to federal Employee Retirement Income Security Act.

Datatype: [ERISAEligibility1Code](#) on page 3272

CodeName	Name	Definition
ELIG	ERISAEligible	Investor is subject to an ERISA declaration.
NELI	NotERISAEligible	Investment is not subject to an ERISA declaration.
UKWN	ERISAEligibilityUnknown	Eligibility is unknown at the time the order is sent, and the instructing party will confirm later.

76.1.33.1.3 ERISARate <ERISARate>

Presence: [0..1]

Definition: Federal Employee Retirement Income Security Act (ERISA) rate.

Datatype: [PercentageRate](#) on page 3406

76.1.33.1.4 BenefitPlanDeclarationIndicator <BnftPlanDclrtnInd>

Presence: [1..1]

Definition: Indicates whether the investor is a benefit plan investor.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.33.1.5 NoChangeToBeneficiaryDetailsIndicator <NoChngToBnfcryDtIsInd>

Presence: [1..1]

Definition: Indicates that there has been no change to the beneficiary's details, such as domicile, investor status, etc, as represented in the initial subscription document.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.33.2 IndividualPerson30

Definition: Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GivenName <GvnNm>	[0..1]	Text		2775
	MiddleName <MddINm>	[0..1]	Text		2775
	Name <Nm>	[1..1]	Text		2775
	Gender <Gndr>	[0..1]	CodeSet		2775
	BirthDate <BirthDt>	[0..1]	Date		2776

76.1.33.2.1 GivenName <GvnNm>

Presence: [0..1]

Definition: First name of the person.

Datatype: [Max35Text](#) on page 3409

76.1.33.2.2 MiddleName <MddINm>

Presence: [0..1]

Definition: Second name of the person.

Datatype: [Max35Text](#) on page 3409

76.1.33.2.3 Name <Nm>

Presence: [1..1]

Definition: Name by which the party is known and which is usually used to identify that party.

Datatype: [Max350Text](#) on page 3409

76.1.33.2.4 Gender <Gndr>

Presence: [0..1]

Definition: Gender of the person.

Datatype: [GenderCode](#) on page 3287

CodeName	Name	Definition
MALE	Male	Individual is a male.
FEMA	Female	Individual is a female.

76.1.33.2.5 BirthDate <BirthDt>

Presence: [0..1]

Definition: Date on which the person is born.

Datatype: ISODate on page 3391

76.1.33.3 IndividualPerson38

Definition: Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			2778
{Or	Code <Cd>	[1..1]	CodeSet		2778
Or}	Proprietary <Prtry>	[1..1]	±		2779
	GivenName <GvnNm>	[0..1]	Text		2779
	MiddleName <MddlNm>	[0..1]	Text		2779
	Name <Nm>	[1..1]	Text		2779
	NameSuffix <NmSfx>	[0..1]	Text		2779
	Gender <Gndr>	[0..1]	CodeSet		2779
	BirthDate <BirthDt>	[0..1]	Date		2780
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C11	2780
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		2780
	CityOfBirth <CityOfBirth>	[0..1]	Text		2780
	Profession <Prfssn>	[0..1]	Text		2780
	ModifiedPostalAddress <ModfdPstlAdr>	[0..*]			2780
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2781
	PostalAddress <PstlAdr>	[1..1]	±	C23	2781
	ModifiedCitizenship <ModfdCtzsh>	[0..3]			2782
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2783
	Citizenship <Ctzsh>	[1..1]			2783
	Nationality <Ntfty>	[1..1]	CodeSet	C35	2783
	MinorIndicator <MnrInd>	[1..1]	Indicator		2783
	EmployingCompany <EmplngCpny>	[0..1]	Text		2784
	BusinessFunction <BizFctn>	[0..1]	Text		2784
	PoliticallyExposedPerson <PltclYXpsdPrsn>	[0..1]		C29	2784
	PoliticallyExposedPersonType <PltclYXpsdPrsnTp>	[1..1]			2785
{Or	Code <Cd>	[1..1]	CodeSet		2785
Or}	Proprietary <Prtry>	[1..1]	±		2785
	PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>	[0..1]			2785
{Or	Code <Cd>	[1..1]	CodeSet		2786
Or}	Proprietary <Prtry>	[1..1]	±		2786
	DeathDate <DthDt>	[0..1]	Date		2787

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CivilStatus <Cv/Sts>	[0..1]			2787
{Or	Code <Cd>	[1..1]	CodeSet		2787
Or}	Proprietary <Prtry>	[1..1]	±		2787
	EducationLevel <EdctnLvl>	[0..1]	Text		2788
	FamilyInformation <FmlyInf>	[0..1]			2788
	NameOfFather <NmOfFthr>	[0..1]	Text		2788
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2788
	NameOfPartner <NmOfPrtrnr>	[0..1]	Text		2788
	GDPRData <GDPRData>	[0..*]			2788
	ConsentType <CnsntTp>	[1..1]			2789
{Or	Code <Cd>	[1..1]	CodeSet		2789
Or}	Proprietary <Prtry>	[1..1]	±		2790
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2790
	ConsentDate <CnsntDt>	[1..1]	Date		2790

76.1.33.3.1 NamePrefix <NmPrfx>

Presence: [0..1]

Definition: Term used to address the person.

NamePrefix <NmPrfx> contains one of the following **NamePrefix1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2778
Or}	Proprietary <Prtry>	[1..1]	±		2779

76.1.33.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Name prefix expressed as a code.

Datatype: NamePrefix1Code on page 3315

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MIST	Mister	Title of the person is Mister or Mr.
MISS	Miss	Title of the person is Miss.
MADM	Madam	Title of the person is Madam.

76.1.33.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Name prefix expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.33.3.2 GivenName <GvnNm>

Presence: [0..1]

Definition: First name of the person.

Datatype: [Max35Text](#) on page 3409

76.1.33.3.3 MiddleName <MddINm>

Presence: [0..1]

Definition: Second name of the person.

Datatype: [Max35Text](#) on page 3409

76.1.33.3.4 Name <Nm>

Presence: [1..1]

Definition: Name by which the party is known and which is usually used to identify that person.

Datatype: [Max350Text](#) on page 3409

76.1.33.3.5 NameSuffix <NmSfx>

Presence: [0..1]

Definition: Additional information about the person that follows a person's name, for example, qualification such as Doctor of Philosophy (PhD).

Datatype: [Max35Text](#) on page 3409

76.1.33.3.6 Gender <Gndr>

Presence: [0..1]

Definition: Gender of the person.

Datatype: [Gender1Code](#) on page 3287

CodeName	Name	Definition
FEMA	Female	Individual is a female.
MALE	Male	Individual is a male.

76.1.33.3.7 BirthDate <BirthDt>

Presence: [0..1]

Definition: Date on which the person was born.

Datatype: ISODate on page 3391

76.1.33.3.8 CountryOfBirth <CtrOfBirth>

Presence: [0..1]

Definition: Country where the person was born.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.33.3.9 ProvinceOfBirth <PrvcOfBirth>

Presence: [0..1]

Definition: Province where the person was born.

Datatype: Max35Text on page 3409

76.1.33.3.10 CityOfBirth <CityOfBirth>

Presence: [0..1]

Definition: City where the person was born.

Datatype: Max35Text on page 3409

76.1.33.3.11 Profession <Prfssn>

Presence: [0..1]

Definition: Name of the occupation or job of the person.

Datatype: Max35Text on page 3409

76.1.33.3.12 ModifiedPostalAddress <ModfdPstlAdr>

Presence: [0..*]

Definition: Information related to an address to be inserted, updated or deleted.

ModifiedPostalAddress <ModfdPstIAdr> contains the following **ModificationScope34** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		2781
	PostalAddress <PstIAdr>	[1..1]	±	C23	2781

76.1.33.3.12.1 ModificationScopeIndication <ModScplndctn>

Presence: [1..1]

Definition: Specifies the type of modification to be applied on a set of information.

Datatype: [DataModification1Code](#) on page 3270

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.1.33.3.12.2 PostalAddress <PstIAdr>

Presence: [1..1]

Definition: Address of the organisation.

Impacted by: [C23 MailingIndicatorRule](#)

PostalAddress <PstIAdr> contains the following elements (see [PostalAddress21](#) on page 2821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2822
{Or	Code <Cd>	[1..1]	CodeSet		2823
Or}	Proprietary <Prtry>	[1..1]	±		2823
	MailingIndicator <MInglnd>	[0..1]	Indicator		2823
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2823
	CareOf <CareOf>	[0..1]	Text		2824
	AddressLine <AdrLine>	[0..5]	Text		2824
	StreetName <StrtNm>	[0..1]	Text		2824
	BuildingNumber <BldgNb>	[0..1]	Text		2824
	BuildingName <BldgNm>	[0..1]	Text		2824
	PostBox <PstBx>	[0..1]	Text		2824
	SideInBuilding <SdlnBldg>	[0..1]	Text		2824
	Floor <Flr>	[0..1]	Text		2824
	SuiteIdentification <Suiteld>	[0..1]	Text		2825
	PostCode <PstCd>	[0..1]	Text		2825
	DistrictName <DstrctNm>	[0..1]	Text		2825
	Village <Vllg>	[0..1]	Text		2825
	TownName <TwnNm>	[0..1]	Text		2825
	State <Stat>	[0..1]	Text		2825
	Country <Ctry>	[1..1]	CodeSet	C11	2825

Constraints

- **MailingIndicatorRule**

(Rule)

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

76.1.33.3.13 ModifiedCitizenship <ModfdCtznsH>

Presence: [0..3]

Definition: Citizenship information to be inserted or deleted.

ModifiedCitizenship <ModfdCtznsh> contains the following **ModificationScope39** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2783
	Citizenship <Ctznsh>	[1..1]			2783
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2783
	MinorIndicator <MnrInd>	[1..1]	Indicator		2783

76.1.33.3.13.1 ModificationScopeIndication <ModScplIndctn>

Presence: [1..1]

Definition: Specifies the type of modification to be applied on a set of information.

Datatype: [DataModification2Code](#) on page 3270

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.1.33.3.13.2 Citizenship <Ctznsh>

Presence: [1..1]

Definition: Nationality and legal status (minor or major).

Citizenship <Ctznsh> contains the following **CitizenshipInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2783
	MinorIndicator <MnrInd>	[1..1]	Indicator		2783

76.1.33.3.13.2.1 Nationality <Ntlty>

Presence: [1..1]

Definition: Country where a person was born or is legally accepted as belonging to the country.

Impacted by: [C35 ValidationByTable](#)

Datatype: [NationalityCode](#) on page 3315

Constraints

- **ValidationByTable**

(Rule)

Must be a valid nationality.

76.1.33.3.13.2.2 MinorIndicator <MnrInd>

Presence: [1..1]

Definition: Indicates whether the person is a legal minor. This may depend on the nationality, the domicile country or the transaction in which the person is involved.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.33.3.14 EmployingCompany <EmplngCpny>

Presence: [0..1]

Definition: Organisation represented by a person, or for which a person works.

Datatype: [Max140Text](#) on page 3407

76.1.33.3.15 BusinessFunction <BizFctn>

Presence: [0..1]

Definition: Title of the function.

Datatype: [Max35Text](#) on page 3409

76.1.33.3.16 PoliticallyExposedPerson <PltclYXpsdPrsn>

Presence: [0..1]

Definition: Politically exposed person checks.

Impacted by: [C29 PoliticallyExposedPersonTypeRule](#)

PoliticallyExposedPerson <PltclYXpsdPrsn> contains the following **PoliticallyExposedPerson1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PoliticallyExposedPersonType <PltclYXpsdPrsnTp>	[1..1]			2785
{Or	Code <Cd>	[1..1]	CodeSet		2785
Or}	Proprietary <Prtry>	[1..1]	±		2785
	PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>	[0..1]			2785
{Or	Code <Cd>	[1..1]	CodeSet		2786
Or}	Proprietary <Prtry>	[1..1]	±		2786

Constraints

- **PoliticallyExposedPersonTypeRule**

(Rule)

If PoliticallyExposedPersonType/Code is 'NoPoliticalExposure' (NPEX) then PoliticallyExposedPersonStatus is not allowed.

On Condition

/PoliticallyExposedPersonType/Code is equal to value 'NoPoliticalExposure'

Following Must be True

/PoliticallyExposedPersonStatus Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00449
- *Error Text:* PoliticallyExposedPersonStatus must not be present.

76.1.33.3.16.1 PoliticallyExposedPersonType <PltclYXpsdPrsnTp>

Presence: [1..1]

Definition: Specifies if due diligence checks on the political exposure of the investor have been carried out. (A politically exposed person is someone who has been entrusted with a prominent public function, or an individual who is closely related to such a person.)

PoliticallyExposedPersonType <PltclYXpsdPrsnTp> contains one of the following **PoliticalExposureType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2785
Or}	Proprietary <Prtry>	[1..1]	±		2785

76.1.33.3.16.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of political exposure expressed as a code.

Datatype: [PoliticalExposureType2Code](#) on page 3329

CodeName	Name	Definition
NPEX	NoPoliticalExposure	No political exposure.
YPEX	PoliticalExposure	Political exposure.
PEXD	PoliticalExposureDomestic	Political exposure type is domestic.
PEXF	PoliticalExposureForeign	Political exposure type is foreign.

76.1.33.3.16.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of political exposure expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.33.3.16.2 PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>

Presence: [0..1]

Definition: Status of the politically exposed person.

PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts> contains one of the following **PoliticallyExposedPersonStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2786
Or}	Proprietary <Prtry>	[1..1]	±		2786

76.1.33.3.16.2.1 Code <Cd>

Presence: [1..1]

Definition: Status of the politically exposed person expressed as a code.

Datatype: [PoliticallyExposedPersonStatus1Code](#) on page 3329

CodeName	Name	Definition
PE03	CloseAssociate	Person known to be a close associate of the politically exposed person. A person known to be a close associate includes: (a) a natural person who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with the politically exposed person, (b) a natural person who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the de facto benefit of a politically exposed person.
PE01	NaturalPersonEntrusted	Natural person who is or who has been entrusted with prominent public functions.
PE02	FamilyMember	Family member of the politically exposed person. A family member includes: (a) the spouse, or a person considered to be equivalent to a spouse, of the politically exposed person, (b) the children and their spouses, or persons considered to be equivalent to a spouse, of the politically exposed person, (c) the parents of the politically exposed person.

76.1.33.3.16.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Status of the politically exposed person expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.33.3.17 DeathDate <DthDt>

Presence: [0..1]

Definition: Date of death.

Datatype: [ISODate on page 3391](#)

76.1.33.3.18 CivilStatus <CvlSts>

Presence: [0..1]

Definition: Civil status of the individual person.

CivilStatus <CvlSts> contains one of the following **CivilStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2787
Or}	Proprietary <Prtry>	[1..1]	±		2787

76.1.33.3.18.1 Code <Cd>

Presence: [1..1]

Definition: Civil status expressed as a code.

Datatype: [CivilStatus1Code on page 3258](#)

CodeName	Name	Definition
DIVO	Divorced	Person is divorced.
LDIV	LegallyDivorced	Person is legally divorced.
MARR	Married	Person is married.
SEPA	Separated	Person is separated.
SING	Single	Person is single.
UNIO	StableUnion	Person is in a stable union.
WIDO	Widow	Person is a widower.

76.1.33.3.18.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Civil status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.33.3.19 EducationLevel <EdctnLvl>

Presence: [0..1]

Definition: Highest level of education reached by the individual person.

Datatype: [Max35Text](#) on page 3409

76.1.33.3.20 FamilyInformation <FmlyInf>

Presence: [0..1]

Definition: Information related to the person.

FamilyInformation <FmlyInf> contains the following **PersonallInformation1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameOfFather <NmOfFthr>	[0..1]	Text		2788
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2788
	NameOfPartner <NmOfPrtrnr>	[0..1]	Text		2788

76.1.33.3.20.1 NameOfFather <NmOfFthr>

Presence: [0..1]

Definition: Name of the father of the individual person.

Datatype: [Max35Text](#) on page 3409

76.1.33.3.20.2 MaidenNameOfMother <MdnNmOfMthr>

Presence: [0..1]

Definition: Maiden (unmarried) name of the mother of the individual person.

Datatype: [Max35Text](#) on page 3409

76.1.33.3.20.3 NameOfPartner <NmOfPrtrnr>

Presence: [0..1]

Definition: Name of the partner of the individual person.

Datatype: [Max35Text](#) on page 3409

76.1.33.3.21 GDPRData <GDPRData>

Presence: [0..*]

Definition: Information about the individual's consent to use personal data under the General Protection Regulation (GDPR) 2016/679 regulation.

GDPRData <GDPRData> contains the following **GDPRData1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ConsentType <CnsntTp>	[1..1]			2789
{Or	Code <Cd>	[1..1]	CodeSet		2789
Or}	Proprietary <Prtry>	[1..1]	±		2790
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2790
	ConsentDate <CnsntDt>	[1..1]	Date		2790

76.1.33.3.21.1 ConsentType <CnsntTp>

Presence: [1..1]

Definition: Type of consent.

ConsentType <CnsntTp> contains one of the following **GDPRDataConsent1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2789
Or}	Proprietary <Prtry>	[1..1]	±		2790

76.1.33.3.21.1.1 Code <Cd>

Presence: [1..1]

Definition: Consent type expressed as a code.

Datatype: [GDPRDataConsent1Code on page 3286](#)

CodeName	Name	Definition
DP00	ConsentMarketing	Consent to authorise the controller of personal data processing to process personal data for marketing purposes.
DP03	ConsentProfilingTargeted	Consent to authorise the controller of personal data processing to process personal data for profiling purposes in order to formulate customised and targeted product and service offers.
DP01	ConsentTransferSameMarketing	Consent to authorise the controller of personal data processing to transfer personal data to other companies belonging to the same group for independent processing for marketing purposes.
DP02	ConsentTransferThirdPartyMarketing	Consent to authorise the controller of personal data processing to transfer personal data to third party companies for independent processing for marketing purposes.

76.1.33.3.21.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Consent type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.33.3.21.2 ConsentIndicator <CnsntInd>

Presence: [1..1]

Definition: Indicates whether consent has been given.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.33.3.21.3 ConsentDate <CnsntDt>

Presence: [1..1]

Definition: Date of the consent.

Datatype: [ISODate](#) on page 3391

76.1.33.4 IndividualPerson35

Definition: Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GivenName <GvnNm>	[0..1]	Text		2790
	MiddleName <MddINm>	[0..1]	Text		2791
	Name <Nm>	[1..1]	Text		2791
	Gender <Gndr>	[0..1]	CodeSet		2791
	BirthDate <BirthDt>	[0..1]	Date		2791

76.1.33.4.1 GivenName <GvnNm>

Presence: [0..1]

Definition: First name of the person.

Datatype: [Max35Text](#) on page 3409

76.1.33.4.2 MiddleName <MddINm>

Presence: [0..1]

Definition: Second name of the person.

Datatype: Max35Text on page 3409

76.1.33.4.3 Name <Nm>

Presence: [1..1]

Definition: Name by which the party is known and which is usually used to identify that party.

Datatype: Max350Text on page 3409

76.1.33.4.4 Gender <Gndr>

Presence: [0..1]

Definition: Gender of the person.

Datatype: Gender1Code on page 3287

CodeName	Name	Definition
FEMA	Female	Individual is a female.
MALE	Male	Individual is a male.

76.1.33.4.5 BirthDate <BirthDt>

Presence: [0..1]

Definition: Date on which the person is born.

Datatype: ISODate on page 3391

76.1.33.5 IndividualPerson37

Definition: Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			2793
{Or	Code <Cd>	[1..1]	CodeSet		2793
Or}	Proprietary <Prtry>	[1..1]	±		2793
	GivenName <GvnNm>	[0..1]	Text		2794
	MiddleName <MddlNm>	[0..1]	Text		2794
	Name <Nm>	[1..1]	Text		2794
	NameSuffix <NmSfx>	[0..1]	Text		2794
	Gender <Gndr>	[0..1]	CodeSet		2794
	BirthDate <BirthDt>	[0..1]	Date		2794
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C11	2795
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		2795
	CityOfBirth <CityOfBirth>	[0..1]	Text		2795
	Profession <Prfssn>	[0..1]	Text		2795
	PostalAddress <PstlAdr>	[1..10]	±	C23	2795
	Citizenship <Ctznshtp>	[0..3]			2796
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2797
	MinorIndicator <MnrInd>	[1..1]	Indicator		2797
	EmployingCompany <EmplngCpny>	[0..1]	Text		2797
	BusinessFunction <BizFctn>	[0..1]	Text		2797
	PoliticallyExposedPerson <PltcllyXpsdPrsn>	[0..1]		C29	2797
	PoliticallyExposedPersonType <PltcllyXpsdPrsnTp>	[1..1]			2798
{Or	Code <Cd>	[1..1]	CodeSet		2798
Or}	Proprietary <Prtry>	[1..1]	±		2799
	PoliticallyExposedPersonStatus <PltcllyXpsdPrsnSts>	[0..1]			2799
{Or	Code <Cd>	[1..1]	CodeSet		2799
Or}	Proprietary <Prtry>	[1..1]	±		2800
	DeathDate <DthDt>	[0..1]	Date		2800
	CivilStatus <CvlSts>	[0..1]			2800
{Or	Code <Cd>	[1..1]	CodeSet		2801
Or}	Proprietary <Prtry>	[1..1]	±		2801
	EducationLevel <EdctnLvl>	[0..1]	Text		2801

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FamilyInformation <FmlyInf>	[0..1]			2801
	NameOfFather <NmOfFthr>	[0..1]	Text		2802
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2802
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2802
	GDPRData <GDPRData>	[0..*]			2802
	ConsentType <CnsntTp>	[1..1]			2802
{Or	Code <Cd>	[1..1]	CodeSet		2802
Or}	Proprietary <Prtry>	[1..1]	±		2803
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2803
	ConsentDate <CnsntDt>	[1..1]	Date		2803

76.1.33.5.1 NamePrefix <NmPrfx>

Presence: [0..1]

Definition: Term used to address the person.

NamePrefix <NmPrfx> contains one of the following **NamePrefix1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2793
Or}	Proprietary <Prtry>	[1..1]	±		2793

76.1.33.5.1.1 Code <Cd>

Presence: [1..1]

Definition: Name prefix expressed as a code.

Datatype: [NamePrefix1Code on page 3315](#)

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MIST	Mister	Title of the person is Mister or Mr.
MISS	Miss	Title of the person is Miss.
MADM	Madam	Title of the person is Madam.

76.1.33.5.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Name prefix expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.33.5.2 GivenName <GvnNm>

Presence: [0..1]

Definition: First name of the person.

Datatype: [Max35Text on page 3409](#)

76.1.33.5.3 MiddleName <MddINm>

Presence: [0..1]

Definition: Second name of the person.

Datatype: [Max35Text on page 3409](#)

76.1.33.5.4 Name <Nm>

Presence: [1..1]

Definition: Name by which the party is known and which is usually used to identify that person.

Datatype: [Max350Text on page 3409](#)

76.1.33.5.5 NameSuffix <NmSfx>

Presence: [0..1]

Definition: Additional information about the person that follows a person's name, for example, qualification such as Doctor of Philosophy (PhD).

Datatype: [Max35Text on page 3409](#)

76.1.33.5.6 Gender <Gndr>

Presence: [0..1]

Definition: Gender of the person.

Datatype: [Gender1Code on page 3287](#)

CodeName	Name	Definition
FEMA	Female	Individual is a female.
MALE	Male	Individual is a male.

76.1.33.5.7 BirthDate <BirthDt>

Presence: [0..1]

Definition: Date on which the person was born.

Datatype: [ISODate on page 3391](#)

76.1.33.5.8 CountryOfBirth <CtryOfBirth>

Presence: [0..1]

Definition: Country where the person was born.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.33.5.9 ProvinceOfBirth <PrvcOfBirth>

Presence: [0..1]

Definition: Province where the person was born.

Datatype: Max35Text on page 3409

76.1.33.5.10 CityOfBirth <CityOfBirth>

Presence: [0..1]

Definition: City where the person was born.

Datatype: Max35Text on page 3409

76.1.33.5.11 Profession <Prfssn>

Presence: [0..1]

Definition: Name of the occupation or job of the person.

Datatype: Max35Text on page 3409

76.1.33.5.12 PostalAddress <PstlAdr>

Presence: [1..10]

Definition: Address of the person.

Impacted by: C23 MailingIndicatorRule

PostalAddress <PstIAdr> contains the following elements (see [PostalAddress21](#) on page 2821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2822
{Or	Code <Cd>	[1..1]	CodeSet		2823
Or}	Proprietary <Prtry>	[1..1]	±		2823
	MailingIndicator <MInglnd>	[0..1]	Indicator		2823
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2823
	CareOf <CareOf>	[0..1]	Text		2824
	AddressLine <AdrLine>	[0..5]	Text		2824
	StreetName <StrtNm>	[0..1]	Text		2824
	BuildingNumber <BldgNb>	[0..1]	Text		2824
	BuildingName <BldgNm>	[0..1]	Text		2824
	PostBox <PstBx>	[0..1]	Text		2824
	SideInBuilding <SdlnBldg>	[0..1]	Text		2824
	Floor <Flr>	[0..1]	Text		2824
	SuiteIdentification <Suiteld>	[0..1]	Text		2825
	PostCode <PstCd>	[0..1]	Text		2825
	DistrictName <DstrctNm>	[0..1]	Text		2825
	Village <Vllg>	[0..1]	Text		2825
	TownName <TwnNm>	[0..1]	Text		2825
	State <Stat>	[0..1]	Text		2825
	Country <Ctry>	[1..1]	CodeSet	C11	2825

Constraints

- **MailingIndicatorRule**

(Rule)

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

76.1.33.5.13 Citizenship <CtznsH>

Presence: [0..3]

Definition: Nationality and legal status (minor or major).

Citizenship <CtznsH> contains the following **CitizenshipInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2797
	MinorIndicator <MnrInd>	[1..1]	Indicator		2797

76.1.33.5.13.1 Nationality <Ntlty>

Presence: [1..1]

Definition: Country where a person was born or is legally accepted as belonging to the country.

Impacted by: [C35 ValidationByTable](#)

Datatype: [NationalityCode](#) on page 3315

Constraints

- **ValidationByTable**

(Rule)

Must be a valid nationality.

76.1.33.5.13.2 MinorIndicator <MnrInd>

Presence: [1..1]

Definition: Indicates whether the person is a legal minor. This may depend on the nationality, the domicile country or the transaction in which the person is involved.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.33.5.14 EmployingCompany <EmplngCpny>

Presence: [0..1]

Definition: Organisation represented by a person, or for which a person works.

Datatype: [Max140Text](#) on page 3407

76.1.33.5.15 BusinessFunction <BizFctn>

Presence: [0..1]

Definition: Title of the function.

Datatype: [Max35Text](#) on page 3409

76.1.33.5.16 PoliticallyExposedPerson <PltclYXpsdPrsn>

Presence: [0..1]

Definition: Politically exposed person checks.

Impacted by: [C29 PoliticallyExposedPersonTypeRule](#)

PoliticallyExposedPerson <PltclYXpsdPrsn> contains the following **PoliticallyExposedPerson1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PoliticallyExposedPersonType <PltclYXpsdPrsnTp>	[1..1]			2798
{Or	Code <Cd>	[1..1]	CodeSet		2798
Or}	Proprietary <Prtry>	[1..1]	±		2799
	PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>	[0..1]			2799
{Or	Code <Cd>	[1..1]	CodeSet		2799
Or}	Proprietary <Prtry>	[1..1]	±		2800

Constraints

- **PoliticallyExposedPersonTypeRule**

(Rule)

If PoliticallyExposedPersonType/Code is 'NoPoliticalExposure' (NPEX) then PoliticallyExposedPersonStatus is not allowed.

On Condition

/PoliticallyExposedPersonType/Code is equal to value 'NoPoliticalExposure'

Following Must be True

/PoliticallyExposedPersonStatus Must be absent

Error handling:

- Error severity: Fatal
- Error Code: X00449
- Error Text: PoliticallyExposedPersonStatus must not be present.

76.1.33.5.16.1 PoliticallyExposedPersonType <PltclYXpsdPrsnTp>

Presence: [1..1]

Definition: Specifies if due diligence checks on the political exposure of the investor have been carried out. (A politically exposed person is someone who has been entrusted with a prominent public function, or an individual who is closely related to such a person.)

PoliticallyExposedPersonType <PltclYXpsdPrsnTp> contains one of the following **PoliticalExposureType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2798
Or}	Proprietary <Prtry>	[1..1]	±		2799

76.1.33.5.16.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of political exposure expressed as a code.

Datatype: PoliticalExposureType2Code on page 3329

CodeName	Name	Definition
NPEX	NoPoliticalExposure	No political exposure.
YPEX	PoliticalExposure	Political exposure.
PEXD	PoliticalExposureDomestic	Political exposure type is domestic.
PEXF	PoliticalExposureForeign	Political exposure type is foreign.

76.1.33.5.16.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of political exposure expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.33.5.16.2 PoliticallyExposedPersonStatus <PltclXpsdPrsnSts>

Presence: [0..1]

Definition: Status of the politically exposed person.

PoliticallyExposedPersonStatus <PltclXpsdPrsnSts> contains one of the following **PoliticallyExposedPersonStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2799
Or}	Proprietary <Prtry>	[1..1]	±		2800

76.1.33.5.16.2.1 Code <Cd>

Presence: [1..1]

Definition: Status of the politically exposed person expressed as a code.

Datatype: [PoliticallyExposedPersonStatus1Code](#) on page 3329

CodeName	Name	Definition
PE03	CloseAssociate	<p>Person known to be a close associate of the politically exposed person. A person known to be a close associate includes:</p> <p>(a) a natural person who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with the politically exposed person,</p> <p>(b) a natural person who has sole beneficial ownership of a legal entity or</p>

CodeName	Name	Definition
		legal arrangement which is known to have been set up for the de facto benefit of a politically exposed person.
PE01	NaturalPersonEntrusted	Natural person who is or who has been entrusted with prominent public functions.
PE02	FamilyMember	Family member of the politically exposed person. A family member includes: (a) the spouse, or a person considered to be equivalent to a spouse, of the politically exposed person, (b) the children and their spouses, or persons considered to be equivalent to a spouse, of the politically exposed person, (c) the parents of the politically exposed person.

76.1.33.5.16.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Status of the politically exposed person expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.33.5.17 DeathDate <DthDt>

Presence: [0..1]

Definition: Date of death.

Datatype: [ISODate on page 3391](#)

76.1.33.5.18 CivilStatus <CvlSts>

Presence: [0..1]

Definition: Civil status of the individual person.

CivilStatus <CvlSts> contains one of the following **CivilStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2801
Or}	Proprietary <Prtry>	[1..1]	±		2801

76.1.33.5.18.1 Code <Cd>

Presence: [1..1]

Definition: Civil status expressed as a code.

Datatype: [CivilStatus1Code](#) on page 3258

CodeName	Name	Definition
DIVO	Divorced	Person is divorced.
LDIV	LegallyDivorced	Person is legally divorced.
MARR	Married	Person is married.
SEPA	Separated	Person is separated.
SING	Single	Person is single.
UNIO	StableUnion	Person is in a stable union.
WIDO	Widow	Person is a widower.

76.1.33.5.18.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Civil status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.33.5.19 EducationLevel <EdctnLvl>

Presence: [0..1]

Definition: Highest level of education reached by the individual person.

Datatype: [Max35Text](#) on page 3409

76.1.33.5.20 FamilyInformation <FmlyInf>

Presence: [0..1]

Definition: Information related to the person.

FamilyInformation <FmlyInf> contains the following **PersonallInformation1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameOfFather <NmOfFthr>	[0..1]	Text		2802
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2802
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2802

76.1.33.5.20.1 NameOfFather <NmOfFthr>

Presence: [0..1]

Definition: Name of the father of the individual person.

Datatype: Max35Text on page 3409

76.1.33.5.20.2 MaidenNameOfMother <MdnNmOfMthr>

Presence: [0..1]

Definition: Maiden (unmarried) name of the mother of the individual person.

Datatype: Max35Text on page 3409

76.1.33.5.20.3 NameOfPartner <NmOfPrtnr>

Presence: [0..1]

Definition: Name of the partner of the individual person.

Datatype: Max35Text on page 3409

76.1.33.5.21 GDPRData <GDPRData>

Presence: [0..*]

Definition: Information about the individual's consent to use personal data under the General Protection Regulation (GDPR) 2016/679 regulation.

GDPRData <GDPRData> contains the following **GDPRData1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ConsentType <CnsntTp>	[1..1]			2802
{Or	Code <Cd>	[1..1]	CodeSet		2802
Or}	Proprietary <Prtry>	[1..1]	±		2803
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2803
	ConsentDate <CnsntDt>	[1..1]	Date		2803

76.1.33.5.21.1 ConsentType <CnsntTp>

Presence: [1..1]

Definition: Type of consent.

ConsentType <CnsntTp> contains one of the following **GDPRDataConsent1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2802
Or}	Proprietary <Prtry>	[1..1]	±		2803

76.1.33.5.21.1.1 Code <Cd>

Presence: [1..1]

Definition: Consent type expressed as a code.

Datatype: [GDPRDataConsent1Code on page 3286](#)

CodeName	Name	Definition
DP00	ConsentMarketing	Consent to authorise the controller of personal data processing to process personal data for marketing purposes.
DP03	ConsentProfilingTargeted	Consent to authorise the controller of personal data processing to process personal data for profiling purposes in order to formulate customised and targeted product and service offers.
DP01	ConsentTransferSameMarketing	Consent to authorise the controller of personal data processing to transfer personal data to other companies belonging to the same group for independent processing for marketing purposes.
DP02	ConsentTransferThirdPartyMarketing	Consent to authorise the controller of personal data processing to transfer personal data to third party companies for independent processing for marketing purposes.

76.1.33.5.21.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Consent type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemaName <SchmeNm>	[0..1]	Text		2015

76.1.33.5.21.2 ConsentIndicator <CnsntInd>

Presence: [1..1]

Definition: Indicates whether consent has been given.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.33.5.21.3 ConsentDate <CnsntDt>

Presence: [1..1]

Definition: Date of the consent.

Datatype: [ISODate on page 3391](#)

76.1.33.6 IndividualPerson31

Definition: Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2804
	BirthDate <BirthDt>	[0..1]	Date		2804
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2804
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2805
	OtherIdentification <OthrlId>	[0..*]			2805
	Identification <Id>	[1..1]	Text		2805
	IdentificationType <IdTp>	[1..1]			2805
{Or	Code <Cd>	[1..1]	CodeSet		2806
Or}	Proprietary <Prtry>	[1..1]	±		2807
	Issuer <Issr>	[0..1]	Text		2807

Constraints

- **PersonElementRule**

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.33.6.1 Name <Nm>

Presence: [0..1]

Definition: Name by which the party is known and which is usually used to identify that party.

Datatype: Max350Text on page 3409

76.1.33.6.2 BirthDate <BirthDt>

Presence: [0..1]

Definition: Date on which the person is born.

Datatype: ISODate on page 3391

76.1.33.6.3 CountryAndResidentialStatus <CtryAndResdtlSts>

Presence: [0..1]

Definition: Country and residential status of the individual, for example, non-permanent resident.

CountryAndResidentialStatus <CtryAndResdtlSts> contains the following elements (see [CountryAndResidentialStatusType2](#) on page 2582 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2582
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		2582

76.1.33.6.4 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

Presence: [0..1]

Definition: Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

Datatype: [BeneficiaryCertificationCompletion1Code](#) on page 3248

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

76.1.33.6.5 OtherIdentification <OthrlId>

Presence: [0..*]

Definition: Alternative identification, for example, national registration identification number, passport number, or an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CFP) account as required for Singapore.

OtherIdentification <OthrlId> contains the following **GenericIdentification164** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2805
	IdentificationType <IdTp>	[1..1]			2805
{Or	Code <Cd>	[1..1]	CodeSet		2806
Or}	Proprietary <Prtry>	[1..1]	±		2807
	Issuer <Issr>	[0..1]	Text		2807

76.1.33.6.5.1 Identification <Id>

Presence: [1..1]

Definition: Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

Datatype: [Max35Text](#) on page 3409

76.1.33.6.5.2 IdentificationType <IdTp>

Presence: [1..1]

Definition: Specifies the nature of the identifier.

IdentificationType <IdTp> contains one of the following **OtherIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2806
Or}	Proprietary <Prtry>	[1..1]	±		2807

76.1.33.6.5.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of identification expressed as a code.

Datatype: [PartyIdentificationType7Code](#) on page 3321

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
OTHR	Other	Another type of identification type.
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.

CodeName	Name	Definition
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

76.1.33.6.5.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of identification expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.33.6.5.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identifier.

Datatype: [Max35Text](#) on page 3409

76.1.33.7 IndividualPerson32

Definition: Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2808
	BirthDate <BirthDt>	[0..1]	Date		2808
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2808
	OtherIdentification <OthrlId>	[0..*]			2808
	Identification <Id>	[1..1]	Text		2809
	IdentificationType <IdTp>	[1..1]			2809
{Or	Code <Cd>	[1..1]	CodeSet		2809
Or}	Proprietary <Prtry>	[1..1]	±		2810
	Issuer <Issr>	[0..1]	Text		2810

Constraints

- **PersonElementRule**

(Rule)

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.33.7.1 Name <Nm>

Presence: [0..1]

Definition: Name by which the party is known and which is usually used to identify that party.

Datatype: [Max350Text on page 3409](#)

76.1.33.7.2 BirthDate <BirthDt>

Presence: [0..1]

Definition: Date on which the person is born.

Datatype: [ISODate on page 3391](#)

76.1.33.7.3 CountryAndResidentialStatus <CtryAndResdtlSts>

Presence: [0..1]

Definition: Country and residential status of the individual, for example, non-permanent resident.

CountryAndResidentialStatus <CtryAndResdtlSts> contains the following elements (see [CountryAndResidentialStatusType2 on page 2582](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2582
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		2582

76.1.33.7.4 OtherIdentification <Othrid>

Presence: [0..*]

Definition: Alternative identification, for example, national registration identification number, passport number, or an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CFP) account as required for Singapore.

OtherIdentification <Othrlid> contains the following **GenericIdentification164** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2809
	IdentificationType <IdTp>	[1..1]			2809
{Or	Code <Cd>	[1..1]	CodeSet		2809
Or}	Proprietary <Prtry>	[1..1]	±		2810
	Issuer <Issr>	[0..1]	Text		2810

76.1.33.7.4.1 Identification <Id>

Presence: [1..1]

Definition: Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

Datatype: [Max35Text on page 3409](#)

76.1.33.7.4.2 IdentificationType <IdTp>

Presence: [1..1]

Definition: Specifies the nature of the identifier.

IdentificationType <IdTp> contains one of the following **OtherIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2809
Or}	Proprietary <Prtry>	[1..1]	±		2810

76.1.33.7.4.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of identification expressed as a code.

Datatype: [PartyIdentificationType7Code on page 3321](#)

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
OTHR	Other	Another type of identification type.
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.

CodeName	Name	Definition
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

76.1.33.7.4.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of identification expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.33.7.4.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identifier.

Datatype: [Max35Text](#) on page 3409

76.1.33.8 IndividualPerson8

Definition: Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2811
	GivenName <GvnNm>	[1..1]	Text		2811
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2811
	NameSuffix <NmSfx>	[0..1]	Text		2812
	Gender <Gndr>	[0..1]	CodeSet		2812
	BirthDate <BirthDt>	[0..1]	Date		2812
	SocialSecurityNumber <ScIScTyNb>	[0..1]	Text		2812
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2812

Constraints

- **SocialSecurityNumberGuideline**

(Rule)

The UK Insurance Number must be indicated without spaces.

76.1.33.8.1 Name <Nm>

Presence: [1..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: [Max35Text on page 3409](#)

76.1.33.8.2 GivenName <GvnNm>

Presence: [1..1]

Definition: First name of a person.

Datatype: [Max35Text on page 3409](#)

76.1.33.8.3 NamePrefix <NmPrfx>

Presence: [0..1]

Definition: Specifies the terms used to formally address a person.

Datatype: [NamePrefix1Code on page 3315](#)

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MIST	Mister	Title of the person is Mister or Mr.
MISS	Miss	Title of the person is Miss.
MADM	Madam	Title of the person is Madam.

76.1.33.8.4 NameSuffix <NmSfx>

Presence: [0..1]

Definition: Additional information about a person that follows a person's name, for example, qualification such as Doctor of Philosophy (PhD).

Datatype: [Max35Text on page 3409](#)

76.1.33.8.5 Gender <Gndr>

Presence: [0..1]

Definition: Specifies the gender of the person.

Datatype: [GenderCode on page 3287](#)

CodeName	Name	Definition
MALE	Male	Individual is a male.
FEMA	Female	Individual is a female.

76.1.33.8.6 BirthDate <BirthDt>

Presence: [0..1]

Definition: Date on which a person is born.

Datatype: [ISODate on page 3391](#)

76.1.33.8.7 SocialSecurityNumber <SciSctyNb>

Presence: [0..1]

Definition: Number assigned by a social security agency.

Datatype: [Max35Text on page 3409](#)

76.1.33.8.8 IndividualInvestorAddress <IndvInvstrAdr>

Presence: [1..1]

Definition: Postal address of a party.

IndividualInvestorAddress <IndvInvstrAdr> contains the following elements (see [PostalAddress1 on page 2830](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2830
	AddressLine <AdrLine>	[0..5]	Text		2830
	StreetName <StrtNm>	[0..1]	Text		2831
	BuildingNumber <BldgNb>	[0..1]	Text		2831
	PostCode <PstCd>	[0..1]	Text		2831
	TownName <TwnNm>	[0..1]	Text		2831
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2831
	Country <Ctry>	[1..1]	CodeSet	C11	2831

76.1.33.9 IndividualPerson15

Definition: Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2813
	BirthDate <BirthDt>	[0..1]	Date		2813
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2813
	OtherIdentification <OthrlId>	[0..1]			2813
	Identification <Id>	[1..1]	Text		2814
	Issuer <Issr>	[0..1]	Text		2814
	OtherIdentificationType <OthrlDtp>	[0..1]			2814
{Or	IdentificationType <IdTp>	[1..1]	CodeSet		2814
Or}	Proprietary <Prtry>	[1..1]	±		2815
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2815

76.1.33.9.1 Name <Nm>

Presence: [0..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: [Max350Text](#) on page 3409

76.1.33.9.2 BirthDate <BirthDt>

Presence: [0..1]

Definition: Date on which a person is born.

Datatype: [ISODate](#) on page 3391

76.1.33.9.3 CountryAndResidentialStatus <CtryAndResdtlSts>

Presence: [0..1]

Definition: Country and residential status of an individual, for example, non-permanent resident.

CountryAndResidentialStatus <CtryAndResdtlSts> contains the following elements (see [CountryAndResidentialStatusType1](#) on page 2815 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2816
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		2816

76.1.33.9.4 OtherIdentification <OthrlId>

Presence: [0..1]

Definition: Information related to an identification, eg, party identification or account identification.

OtherIdentification <Othrlid> contains the following **GenericIdentification12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2814
	Issuer <Issr>	[0..1]	Text		2814
	OtherIdentificationType <OthrlidTp>	[0..1]			2814
{Or	IdentificationType <IdTp>	[1..1]	CodeSet		2814
Or}	Proprietary <Prtry>	[1..1]	±		2815

76.1.33.9.4.1 Identification <Id>

Presence: [1..1]

Definition: Name or number assigned by an entity to enable recognition of that entity, eg, account identifier.

Datatype: Max35Text on page 3409

76.1.33.9.4.2 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: Max35Text on page 3409

76.1.33.9.4.3 OtherIdentificationType <OthrlidTp>

Presence: [0..1]

Definition: Type of other identification.

OtherIdentificationType <OthrlidTp> contains one of the following **IdentificationType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IdentificationType <IdTp>	[1..1]	CodeSet		2814
Or}	Proprietary <Prtry>	[1..1]	±		2815

76.1.33.9.4.3.1 IdentificationType <IdTp>

Presence: [1..1]

Definition: Specifies a type of individual identification.

Datatype: PersonIdentificationType2Code on page 3327

CodeName	Name	Definition
PASS	PassportNumber	Number assigned by a passport authority to a passport.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).

CodeName	Name	Definition
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.

76.1.33.9.4.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Specifies a type of individual identification.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13 on page 2020](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.33.9.5 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

Presence: [0..1]

Definition: Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

Datatype: [BeneficiaryCertificationCompletion1Code on page 3248](#)

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

76.1.33.10 CountryAndResidentialStatusType1

Definition: Country and residential status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	2816
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		2816

76.1.33.10.1 Country <Ctry>

Presence: [1..1]

Definition: Country to which the residential status is applicable.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.33.10.2 ResidentialStatus <ResdtlSts>

Presence: [1..1]

Definition: Residential status of an individual, for example, non-permanent resident.

Datatype: ResidentialStatus1Code on page 3346

CodeName	Name	Definition
RESI	Resident	Resident.
PRES	PermanentResident	Permanent resident.
NRES	NonResident	Non-resident.

76.1.33.11 ContactIdentification2

Definition: Information needed to contact a physical person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2817
	GivenName <GvnNm>	[0..1]	Text		2817
	Name <Nm>	[1..1]	Text		2817
	PhoneNumber <PhneNb>	[0..1]	Text		2817
	MobileNumber <MobNb>	[0..1]	Text		2817
	FaxNumber <FaxNb>	[0..1]	Text		2818
	EmailAddress <EmailAdr>	[0..1]	Text		2818

76.1.33.11.1 NamePrefix <NmPrfx>

Presence: [0..1]

Definition: Specifies the terms used to formally address a person.

Datatype: [NamePrefix1Code on page 3315](#)

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MIST	Mister	Title of the person is Mister or Mr.
MISS	Miss	Title of the person is Miss.
MADM	Madam	Title of the person is Madam.

76.1.33.11.2 GivenName <GvnNm>

Presence: [0..1]

Definition: First name of a person.

Datatype: [Max35Text on page 3409](#)

76.1.33.11.3 Name <Nm>

Presence: [1..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: [Max35Text on page 3409](#)

76.1.33.11.4 PhoneNumber <PhneNb>

Presence: [0..1]

Definition: Collection of information that identifies a phone number, as defined by telecom services.

Datatype: [PhoneNumber on page 3410](#)

76.1.33.11.5 MobileNumber <MobNb>

Presence: [0..1]

Definition: Collection of information that identifies a mobile phone number, as defined by telecom services.

Datatype: [PhoneNumber on page 3410](#)

76.1.33.11.6 FaxNumber <FaxNb>

Presence: [0..1]

Definition: Collection of information that identifies a FAX number, as defined by telecom services.

Datatype: [PhoneNumber on page 3410](#)

76.1.33.11.7 EmailAddress <EmailAdr>

Presence: [0..1]

Definition: Address for electronic mail (e-mail).

Datatype: [Max256Text on page 3408](#)

76.1.33.12 BeneficiaryInformation2

Definition: Information about the beneficial owner.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficiaryIdentification <Bnfcryld>	[0..1]	±		2818
	ERISAEligibility <ERISAEIgbly>	[0..1]	CodeSet		2819
	ERISARate <ERISARate>	[0..1]	Rate		2819
	BenefitPlanDeclarationIndicator <BnftPlanDclrtnInd>	[0..1]	Indicator		2819
	NoChangeToBeneficiaryDetailsIndicator <NoChngToBnfcryDtlsInd>	[0..1]	Indicator		2820

Constraints

- **ERISAEligibilityRule**

(Rule)

If ERISAEligibility is ELIG, then ERISARate must be present.

76.1.33.12.1 BeneficiaryIdentification <Bnfcryld>

Presence: [0..1]

Definition: Identification of the beneficial owner.

BeneficiaryIdentification <Bnfcryld> contains the following elements (see [IndividualPerson15](#) on page 2813 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2813
	BirthDate <BirthDt>	[0..1]	Date		2813
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2813
	OtherIdentification <OthrlId>	[0..1]			2813
	Identification <Id>	[1..1]	Text		2814
	Issuer <Issr>	[0..1]	Text		2814
	OtherIdentificationType <OthrlIdTp>	[0..1]			2814
{Or	IdentificationType <IdTp>	[1..1]	CodeSet		2814
Or}	Proprietary <Prtry>	[1..1]	±		2815
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2815

76.1.33.12.2 ERISAEligibility <ERISAEIgbly>

Presence: [0..1]

Definition: Eligibility to federal Employee Retirement Income Security Act.

Datatype: [ERISAEligibility1Code](#) on page 3272

CodeName	Name	Definition
ELIG	ERISAEligible	Investor is subject to an ERISA declaration.
NELI	NotERISAEligible	Investment is not subject to an ERISA declaration.
UKWN	ERISAEligibilityUnknown	Eligibility is unknown at the time the order is sent, and the instructing party will confirm later.

76.1.33.12.3 ERISARate <ERISARate>

Presence: [0..1]

Definition: Federal Employee Retirement Income Security Act (ERISA) rate.

Datatype: [PercentageRate](#) on page 3406

76.1.33.12.4 BenefitPlanDeclarationIndicator <BnftPlanDclrtnd>

Presence: [0..1]

Definition: Indicates whether the investor is a benefit plan investor.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.33.12.5 NoChangeToBeneficiaryDetailsIndicator <NoChngToBnfcryDtIsInd>

Presence: [0..1]

Definition: Indicates that there has been no change to the beneficiary's details, such as domicile, investor status, etc, as represented in the initial subscription document.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.34 Postal Address

76.1.34.1 LongPostalAddress1Choice

Definition: Information that locates and identifies a specific address, as defined by postal services.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unstructured <Ustrd>	[1..1]	Text		2820
Or}	Structured <Strd>	[1..1]	±	C14	2820

76.1.34.1.1 Unstructured <Ustrd>

Presence: [1..1]

Definition: Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

Datatype: [Max140Text](#) on page 3407

76.1.34.1.2 Structured <Strd>

Presence: [1..1]

Definition: Information that locates and identifies a specific address, as defined by postal services, that is presented in a formal structure.

Impacted by: [C14 StreetNameAndOrPostOfficeBoxRule](#)

Structured <Strd> contains the following elements (see [StructuredLongPostalAddress1](#) on page 3057 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BuildingName <BldgNm>	[0..1]	Text		3058
	StreetName <StrtNm>	[0..1]	Text		3058
	StreetBuildingIdentification <StrtBldgId>	[0..1]	Text		3058
	Floor <Flr>	[0..1]	Text		3058
	TownName <TwnNm>	[1..1]	Text		3059
	DistrictName <DstrctNm>	[0..1]	Text		3059
	RegionIdentification <RgnId>	[0..1]	Text		3059
	State <Stat>	[0..1]	Text		3059
	CountyIdentification <CtyId>	[0..1]	Text		3059
	Country <Ctry>	[1..1]	CodeSet	C11	3059
	PostCodeIdentification <PstCdId>	[1..1]	Text		3060
	PostOfficeBox <POB>	[0..1]	Text		3060

Constraints

- **StreetNameAndOrPostOfficeBoxRule**

(Rule)

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

76.1.34.2 PostalAddress21

Definition: Information that locates and identifies a specific address, as defined by postal services.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2822
{Or	Code <Cd>	[1..1]	CodeSet		2823
Or}	Proprietary <Prtry>	[1..1]	±		2823
	MailingIndicator <MInglnd>	[0..1]	Indicator		2823
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2823
	CareOf <CareOf>	[0..1]	Text		2824
	AddressLine <AdrLine>	[0..5]	Text		2824
	StreetName <StrtNm>	[0..1]	Text		2824
	BuildingNumber <BldgNb>	[0..1]	Text		2824
	BuildingName <BldgNm>	[0..1]	Text		2824
	PostBox <PstBx>	[0..1]	Text		2824
	SideInBuilding <SdlnBldg>	[0..1]	Text		2824
	Floor <Flr>	[0..1]	Text		2824
	SuiteIdentification <Suiteld>	[0..1]	Text		2825
	PostCode <PstCd>	[0..1]	Text		2825
	DistrictName <DstrctNm>	[0..1]	Text		2825
	Village <Vllg>	[0..1]	Text		2825
	TownName <TwnNm>	[0..1]	Text		2825
	State <Stat>	[0..1]	Text		2825
	Country <Ctry>	[1..1]	CodeSet	C11	2825

Constraints

- **MailingIndicatorRule**

(Rule)

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

76.1.34.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Type of address.

AddressType <AdrTp> contains one of the following **AddressType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2823
Or}	Proprietary <Prtry>	[1..1]	±		2823

76.1.34.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of address expressed as a code.

Datatype: [AddressType2Code](#) on page 3247

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.

76.1.34.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of address expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchemeNm>	[0..1]	Text		2015

76.1.34.2.2 MailingIndicator <MIngInd>

Presence: [0..1]

Definition: Indicates whether mail should be sent to the address.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.34.2.3 RegistrationAddressIndicator <RegnAdrlnd>

Presence: [0..1]

Definition: Indicates whether the address is the official address of the party.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.34.2.4 CareOf <CareOf>

Presence: [0..1]

Definition: When the individual resides at another person's address, the name of the other person.

Datatype: Max70Text on page 3410

76.1.34.2.5 AddressLine <AdrLine>

Presence: [0..5]

Definition: Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

Datatype: Max70Text on page 3410

76.1.34.2.6 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of the street or thoroughfare.

Datatype: Max70Text on page 3410

76.1.34.2.7 BuildingNumber <BldgNb>

Presence: [0..1]

Definition: Number that identifies the position of the building on a street.

Datatype: Max16Text on page 3408

76.1.34.2.8 BuildingName <BldgNm>

Presence: [0..1]

Definition: Name of the building or house.

Datatype: Max35Text on page 3409

76.1.34.2.9 PostBox <PstBx>

Presence: [0..1]

Definition: Post box number of the addressee within the residential or company building.

Datatype: Max10Text on page 3407

76.1.34.2.10 SideInBuilding <SdInBldg>

Presence: [0..1]

Definition: Side or wing of the building, for example, 'wing A'.

Datatype: Max35Text on page 3409

76.1.34.2.11 Floor <Flr>

Presence: [0..1]

Definition: Floor or storey within the building.

Datatype: Max70Text on page 3410

76.1.34.2.12 SuiteIdentification <SuiteId>

Presence: [0..1]

Definition: Identification of the suite or apartment.

Datatype: Max10Text on page 3407

76.1.34.2.13 PostCode <PstCd>

Presence: [0..1]

Definition: Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

Datatype: Max16Text on page 3408

76.1.34.2.14 DistrictName <DstrctNm>

Presence: [0..1]

Definition: Name of a district, that is, a part of the town or region.

Datatype: Max35Text on page 3409

76.1.34.2.15 Village <Vllg>

Presence: [0..1]

Definition: Name of the village.

Datatype: Max70Text on page 3410

76.1.34.2.16 TownName <TwnNm>

Presence: [0..1]

Definition: Name of the town or city.

Datatype: Max35Text on page 3409

76.1.34.2.17 State <Stat>

Presence: [0..1]

Definition: Name of the state, county or country sub-division.

Datatype: Max70Text on page 3410

76.1.34.2.18 Country <Ctry>

Presence: [1..1]

Definition: Country of the address.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**
(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.34.3 DeliveryParameters3

Definition: Parameters of a physical delivery.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2826
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2826

76.1.34.3.1 Address <Adr>

Presence: [1..1]

Definition: Address for physical delivery.

Address <Adr> contains the following elements (see [NameAndAddress4](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2832
	Address <Adr>	[1..1]	±		2833

76.1.34.3.2 IssuedCertificateNumber <IssdCertNb>

Presence: [0..1]

Definition: Certificate representing a security that is delivered.

Datatype: [Max35Text](#) on page 3409

76.1.34.4 DeliveryParameters4

Definition: Parameters of a physical delivery.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrInd>	[1..1]	Indicator		2827
	NameAndAddress <NmAndAdr>	[0..1]	±		2827
	ContactPerson <CtctPrsn>	[0..1]	±		2827

Constraints

- **NameAndAddress1Rule**
(Rule)

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

76.1.34.4.1 RegisteredAddressIndicator <RegdAdrInd>

Presence: [1..1]

Definition: Indicates whether the address for the physical delivery is the registered address.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.34.4.2 NameAndAddress <NmAndAdr>

Presence: [0..1]

Definition: Name and address to/from which the physical delivery/receipt of the financial instrument must take place.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress4](#) on page 2832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2832
	Address <Adr>	[1..1]	±		2833

76.1.34.4.3 ContactPerson <CtctPrsn>

Presence: [0..1]

Definition: Contact person and contact information.

ContactPerson <CtctPrsn> contains the following elements (see [ContactIdentification2](#) on page 2816 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2817
	GivenName <GvnNm>	[0..1]	Text		2817
	Name <Nm>	[1..1]	Text		2817
	PhoneNumber <PhneNb>	[0..1]	Text		2817
	MobileNumber <MobNb>	[0..1]	Text		2817
	FaxNumber <FaxNb>	[0..1]	Text		2818
	EmailAddress <EmailAdr>	[0..1]	Text		2818

76.1.34.5 PostalAddress6

Definition: Information that locates and identifies a specific address, as defined by postal services.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2828
	Department <Dept>	[0..1]	Text		2828
	SubDepartment <SubDept>	[0..1]	Text		2828
	StreetName <StrtNm>	[0..1]	Text		2828
	BuildingNumber <BldgNb>	[0..1]	Text		2829
	PostCode <PstCd>	[0..1]	Text		2829
	TownName <TwnNm>	[0..1]	Text		2829
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2829
	Country <Ctry>	[0..1]	CodeSet	C11	2829
	AddressLine <AdrLine>	[0..7]	Text		2830

76.1.34.5.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: [AddressType2Code on page 3247](#)

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.

76.1.34.5.2 Department <Dept>

Presence: [0..1]

Definition: Identification of a division of a large organisation or building.

Datatype: [Max70Text on page 3410](#)

76.1.34.5.3 SubDepartment <SubDept>

Presence: [0..1]

Definition: Identification of a sub-division of a large organisation or building.

Datatype: [Max70Text on page 3410](#)

76.1.34.5.4 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: [Max70Text on page 3410](#)

76.1.34.5.5 BuildingNumber <BldgNb>

Presence: [0..1]

Definition: Number that identifies the position of a building on a street.

Datatype: [Max16Text on page 3408](#)

76.1.34.5.6 PostCode <PstCd>

Presence: [0..1]

Definition: Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

Datatype: [Max16Text on page 3408](#)

76.1.34.5.7 TownName <TwnNm>

Presence: [0..1]

Definition: Name of a built-up area, with defined boundaries, and a local government.

Datatype: [Max35Text on page 3409](#)

76.1.34.5.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

Definition: Identifies a subdivision of a country such as state, region, county.

Datatype: [Max35Text on page 3409](#)

76.1.34.5.9 Country <Ctry>

Presence: [0..1]

Definition: Nation with its own government.

Impacted by: [C11 Country](#)

Datatype: [CountryCode on page 3267](#)

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004

– *Error Text:* Invalid Country Code.

76.1.34.5.10 AddressLine <AdrLine>

Presence: [0..7]

Definition: Information that locates and identifies a specific address, as defined by postal services, presented in free format text.

Datatype: [Max70Text on page 3410](#)

76.1.34.6 PostalAddress1

Definition: Information that locates and identifies a specific address, as defined by postal services.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2830
	AddressLine <AdrLine>	[0..5]	Text		2830
	StreetName <StrtNm>	[0..1]	Text		2831
	BuildingNumber <BldgNb>	[0..1]	Text		2831
	PostCode <PstCd>	[0..1]	Text		2831
	TownName <TwnNm>	[0..1]	Text		2831
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2831
	Country <Ctry>	[1..1]	CodeSet	C11	2831

76.1.34.6.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: [AddressType2Code on page 3247](#)

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.

76.1.34.6.2 AddressLine <AdrLine>

Presence: [0..5]

Definition: Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

Datatype: [Max70Text on page 3410](#)

76.1.34.6.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: Max70Text on page 3410

76.1.34.6.4 BuildingNumber <BldgNb>

Presence: [0..1]

Definition: Number that identifies the position of a building on a street.

Datatype: Max16Text on page 3408

76.1.34.6.5 PostCode <PstCd>

Presence: [0..1]

Definition: Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

Datatype: Max16Text on page 3408

76.1.34.6.6 TownName <TwnNm>

Presence: [0..1]

Definition: Name of a built-up area, with defined boundaries, and a local government.

Datatype: Max35Text on page 3409

76.1.34.6.7 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

Definition: Identifies a subdivision of a country for example, state, region, county.

Datatype: Max35Text on page 3409

76.1.34.6.8 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004

– *Error Text:* Invalid Country Code.

76.1.34.7 NameAndAddress5

Definition: Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2832
	Address <Adr>	[0..1]	±		2832

76.1.34.7.1 Name <Nm>

Presence: [1..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: [Max350Text on page 3409](#)

76.1.34.7.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

Address <Adr> contains the following elements (see [PostalAddress1 on page 2830](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2830
	AddressLine <AdrLine>	[0..5]	Text		2830
	StreetName <StrtNm>	[0..1]	Text		2831
	BuildingNumber <BldgNb>	[0..1]	Text		2831
	PostCode <PstCd>	[0..1]	Text		2831
	TownName <TwnNm>	[0..1]	Text		2831
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2831
	Country <Ctry>	[1..1]	CodeSet	C11	2831

76.1.34.8 NameAndAddress4

Definition: Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2832
	Address <Adr>	[1..1]	±		2833

76.1.34.8.1 Name <Nm>

Presence: [0..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: [Max350Text on page 3409](#)

76.1.34.8.2 Address <Adr>

Presence: [1..1]

Definition: Postal address of the party.

Address <Adr> contains the following elements (see [PostalAddress1 on page 2830](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2830
	AddressLine <AdrLine>	[0..5]	Text		2830
	StreetName <StrtNm>	[0..1]	Text		2831
	BuildingNumber <BldgNb>	[0..1]	Text		2831
	PostCode <PstCd>	[0..1]	Text		2831
	TownName <TwnNm>	[0..1]	Text		2831
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2831
	Country <Ctry>	[1..1]	CodeSet	C11	2831

76.1.35 Price

76.1.35.1 PriceInformation2

Definition: Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2834
	ValueType <ValTp>	[0..1]	CodeSet		2834
{Or	Type <Tp>	[1..1]	CodeSet		2834
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2835
	SourceOfPrice <SrcOfPric>	[0..1]			2835
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2836
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2836
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2836
	QuotationDate <QtnDt>	[0..1]	±		2836
	Yielded <Yldd>	[0..1]	Indicator		2837

Constraints

- **ValueRule**
(Rule)

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

76.1.35.1.1 Value <Val>

Presence: [1..1]

Definition: Value of the price, eg, as a currency and value.

Value <Val> contains one of the following elements (see [PriceRateOrAmountOrUnknownChoice](#) on page 2892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		2892
Or	Amount <Amt>	[1..1]	Amount	C3	2893
Or}	UnknownIndicator <UknwnInd>	[1..1]	Indicator		2893

76.1.35.1.2 ValueType <ValTp>

Presence: [0..1]

Definition: Type of value in which the price is expressed.

Datatype: [PriceValueType2Code](#) on page 3331

CodeName	Name	Definition
DISC	Discount	Price expressed as a number of percentage points below par, for example, a discount price of 2.0% equals a price of 98 when par is 100.
PREM	Premium	Price expressed as a number of percentage points above par, for example, a premium price of 2.0% equals a price of 102 when par is 100.

76.1.35.1.3 Type <Tp>

Presence: [1..1]

Warning Either Type or ExtendedType must be present, but not both.

Definition: Type and information about a price.

Datatype: [TypeOfPrice11Code](#) on page 3383

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or

CodeName	Name	Definition
		as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
MRKT	Market	Price is the current market price.
INDC	Indicative	Price is the estimated indicative price.

76.1.35.1.4 ExtendedType <XtndedTp>

Presence: [1..1]

Warning Either Type or ExtendedType must be present, but not both.

Definition: Type and information about a price.

Datatype: [Extended350Code on page 3407](#)

76.1.35.1.5 SourceOfPrice <SrcOfPric>

Presence: [0..1]

Definition: Place from which the price was obtained.

SourceOfPrice <SrcOfPric> contains one of the following **PriceSourceFormatChoice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	LocalMarketPlace <LcIMktPlc>	[1..1]	IdentifierSet		2836
Or	NonLocalMarketPlace <NonLcIMktPlc>	[1..1]	±		2836
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2836

76.1.35.1.5.1 LocalMarketPlace <LcIMktPlc>

Presence: [1..1]

Definition: Source of price quotation is the market, expressed as a Market Identifier Code (MIC).

Datatype: MICIdentifier on page 3401

76.1.35.1.5.2 NonLocalMarketPlace <NonLcIMktPlc>

Presence: [1..1]

Definition: Source of a price quotation when it is not the local market.

NonLocalMarketPlace <NonLcIMktPlc> contains the following elements (see [PriceSource](#) on page 2892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceSource <PricSrc>	[1..1]	CodeSet		2892
	Narrative <Nrrtv>	[0..1]	Text		2892

76.1.35.1.5.3 PlaceAsDSS <PlcAsDSS>

Presence: [1..1]

Definition: Source of a price quotation expressed with a propriety identification scheme.

PlaceAsDSS <PlcAsDSS> contains the following elements (see [GenericIdentification5](#) on page 2018 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		2019
	Information <Inf>	[1..1]	Text		2019
	Narrative <Nrrtv>	[0..1]	Text		2019

76.1.35.1.6 QuotationDate <QtnDt>

Presence: [0..1]

Definition: Date on which the price is obtained. With an investment fund, this is as stated in the prospectus.

QuotationDate <QtnDt> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.35.1.7 Yielded <Yldd>

Presence: [0..1]

Definition: Indicates whether the price is expressed as a yield. The absence of Yielded means it is not applicable.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.35.2 UnitPrice23

Definition: Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2837
	Value <Val>	[1..1]	±		2838
	PriceMethod <PricMtd>	[0..1]	CodeSet		2838
	AccruedInterestNAV <AcrdIntrstNAV>	[0..1]	Amount	C3, C12	2838
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2839
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2839
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2839
{Or	Code <Cd>	[1..1]	CodeSet		2840
Or}	Proprietary <Prtry>	[1..1]	±		2840

76.1.35.2.1 Type <Tp>

Presence: [1..1]

Definition: Type and information about a price.

Type <Tp> contains one of the following elements (see [TypeOfPrice46Choice](#) on page 2855 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2855
Or}	Proprietary <Prtry>	[1..1]	±		2856

76.1.35.2.2 Value <Val>

Presence: [1..1]

Definition: Value of the price.

Value <Val> contains the following elements (see [PriceValue1](#) on page 2894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2894

76.1.35.2.3 PriceMethod <PricMtd>

Presence: [0..1]

Definition: Type of pricing calculation method.

Datatype: [PriceMethod1Code](#) on page 3330

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

76.1.35.2.4 AccruedInterestNAV <AcrdIntrstNAV>

Presence: [0..1]

Definition: Interest that has accumulated between the most recent payment of interest and the sale of the financial instrument.

Impacted by: [C3 ActiveOrHistoricCurrency](#) __, [C12 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.35.2.5 NumberOfDaysAccrued <NbOfDaysAcrd>

Presence: [0..1]

Definition: Number of days used for calculating the accrued interest amount.

Datatype: Number on page 3405

76.1.35.2.6 TaxableIncomePerShare <TaxblIncmPerShr>

Presence: [0..1]

Definition: Amount included in the NAV that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.35.2.7 TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>

Presence: [0..1]

Definition: Specifies whether the fund calculates a taxable interest per share (TIS).

TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd> contains one of the following **TaxableIncomePerShareCalculated2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2840
Or}	Proprietary <Prtry>	[1..1]	±		2840

76.1.35.2.7.1 Code <Cd>

Presence: [1..1]

Definition: Taxable income per share (TIS) calculated expressed as a code.

Datatype: [TaxableIncomePerShareCalculated2Code](#) on page 3360

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.

76.1.35.2.7.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Taxable income per share calculated (TIS) expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.35.3 ValuationDealingProcessingCharacteristics3

Definition: Valuation dealing processing characteristics linked to the instrument, that is, not to the market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2841
	ValuationFrequencyDescription <ValtnFrqcyDesc>	[0..1]	Text		2841
	ValuationTime <ValtnTm>	[0..1]	Time		2842
	DecimalisationUnits <DcmlstnUnits>	[0..1]	Quantity		2842
	DecimalisationPrice <DcmlstnPric>	[0..1]	Quantity		2842
	DualFundIndicator <DualFndInd>	[0..1]	Indicator		2842
	PriceMethod <PricMtd>	[0..1]	CodeSet		2842
	PriceCurrency <PricCcy>	[0..*]	CodeSet	C2	2842
	AdditionalInformation <AddtlInf>	[0..*]	±		2843

76.1.35.3.1 ValuationFrequency <ValtnFrqcy>

Presence: [0..1]

Definition: Frequency of the valuation.

Datatype: [EventFrequency5Code on page 3276](#)

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

76.1.35.3.2 ValuationFrequencyDescription <ValtnFrqcyDesc>

Presence: [0..1]

Definition: Further details regarding the dealing frequency, for example, Tuesday (for weekly dealing) or last business day of the month.

Datatype: [Max350Text on page 3409](#)

76.1.35.3.3 ValuationTime <ValtnTm>

Presence: [0..1]

Definition: Valuation time of the fund.

Datatype: [ISOTime on page 3411](#)

76.1.35.3.4 DecimalisationUnits <DcmlstnUnits>

Presence: [0..1]

Definition: Number of decimal places to which quantities of units/shares are rounded.

Datatype: [Number on page 3405](#)

76.1.35.3.5 DecimalisationPrice <DcmlstnPric>

Presence: [0..1]

Definition: Number of decimal places to which the price is rounded.

Datatype: [Number on page 3405](#)

76.1.35.3.6 DualFundIndicator <DualFndInd>

Presence: [0..1]

Definition: Indicates whether the fund has two prices.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.35.3.7 PriceMethod <PricMtd>

Presence: [0..1]

Definition: Type of pricing calculation method.

Datatype: [PriceMethod1Code on page 3330](#)

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

76.1.35.3.8 PriceCurrency <PricCcy>

Presence: [0..*]

Definition: Currencies in which the prices for the investment fund class are published by the fund management company.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyCode on page 3246](#)

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.35.3.9 AdditionalInformation <AddtlInf>

Presence: [0..*]

Definition: Additional information about the valuation dealing characteristics.

AdditionalInformation <AddtlInf> contains the following elements (see [AdditionalInformation15 on page 1885](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1886
	InformationValue <InfVal>	[1..1]	Text		1886

76.1.35.4 PriceReport3

Definition: Information about a price report.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceValuationDetails <PricValtnDtls>	[1..*]		C19	2844
	Identification <Id>	[0..1]	Text		2845
	ValuationDateTime <ValtnDtTm>	[0..1]	±		2846
	NAVDateTime <NAVDtTm>	[1..1]	±		2846
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2846
	FundManagementCompany <FndMgmtCpny>	[0..1]	±		2847
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	2847
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2848
	NextValuationDateTime <NxtValtnDtTm>	[0..1]	±		2848
	PreviousValuationDateTime <PrvsValtnDtTm>	[0..1]	±		2848
	ValuationType <ValtnTp>	[1..1]	CodeSet		2848
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2849
	OfficialValuationIndicator <OffclValtnInd>	[1..1]	Indicator		2849
	SuspendedIndicator <SspdInd>	[1..1]	Indicator		2850
	PriceDetails <PricDtls>	[0..*]	±	C8	2850
	ValuationStatistics <ValtnSttstcs>	[0..*]	±	C13, C14, C15	2852
	PerformanceDetails <PrfrmncDtls>	[0..1]	±	C1	2854

76.1.35.4.1 PriceValuationDetails <PricValtnDtls>

Presence: [1..*]

Definition: Information related to the price valuation of a financial instrument.

Impacted by: C19 PriceDetailsRule

PriceValuationDetails <PricValtnDtls> contains the following **PriceValuation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2845
	ValuationDateTime <ValtnDtTm>	[0..1]	±		2846
	NAVDateTime <NAVDtTm>	[1..1]	±		2846
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2846
	FundManagementCompany <FndMgmtCpny>	[0..1]	±		2847
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	2847
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2848
	NextValuationDateTime <NxtValtnDtTm>	[0..1]	±		2848
	PreviousValuationDateTime <PrvsValtnDtTm>	[0..1]	±		2848
	ValuationType <ValtnTp>	[1..1]	CodeSet		2848
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2849
	OfficialValuationIndicator <OffclValtnInd>	[1..1]	Indicator		2849
	SuspendedIndicator <SspdlInd>	[1..1]	Indicator		2850
	PriceDetails <PricDtls>	[0..*]	±	C8	2850
	ValuationStatistics <ValtnSttstcs>	[0..*]	±	C13, C14, C15	2852
	PerformanceDetails <PrfrmncDtls>	[0..1]	±	C1	2854

Constraints

- **PriceDetailsRule**

(Rule)

If SuspendedIndicator is "true" or "1" (Yes), then PriceDetails is optional.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails /DualFundIndicator is "false" or "0" (No), then PriceDetails must be present at least once.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails /DualFundIndicator is "true" or "1" (Yes), then PriceDetails must be present two or more times and PriceDetails/Type must be present with the values "BIDE" and "OFFR".

76.1.35.4.1.1 Identification <Id>

Presence: [0..1]

Definition: Unique technical identifier for an instance of a price valuation within a price report, as assigned by the issuer of the report.

Datatype: Max35Text on page 3409

76.1.35.4.1.2 ValuationDateTime <ValtnDtTm>

Presence: [0..1]

Definition: Date and time of the price valuation for the investment fund/fund class.

ValuationDateTime <ValtnDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.35.4.1.3 NAVDateTime <NAVDtTm>

Presence: [1..1]

Definition: Date and time at which a price is applied, according to the terms stated in the prospectus. The NAV date is also known as the trade date. The NAV date becomes the trade date in an order.

NAVDateTime <NAVDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.35.4.1.4 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class for which the net asset value is calculated.

Impacted by: [C17 FinancialInstrumentIdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument8](#) on page 1890 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..10]	±		1891
	Name <Nm>	[0..1]	Text		1892
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1892
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C3	1892
	ClassType <ClsTp>	[0..1]	Text		1893
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1893
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1893
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1894

Constraints

- **FinancialInstrumentIdentificationGuideline**

(Guideline)

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

76.1.35.4.1.5 FundManagementCompany <FndMgmtCpny>

Presence: [0..1]

Definition: Issuer of the fund.

FundManagementCompany <FndMgmtCpny> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.35.4.1.6 TotalNAV <TtINAV>

Presence: [0..*]

Definition: Value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

Impacted by: [C3 ActiveOrHistoricCurrency](#) __, [C12 CurrencyAmount](#) __

Datatype: [ActiveOrHistoricCurrencyAndAmount](#) on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.35.4.1.7 TotalUnitsNumber <TtlUnitsNb>

Presence: [0..1]

Definition: Total number of investment fund class units that have been issued.

TotalUnitsNumber <TtlUnitsNb> contains the following elements (see [FinancialInstrumentQuantity1](#) on page 2910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.35.4.1.8 NextValuationDateTime <NxtValtnDtTm>

Presence: [0..1]

Definition: Date and time of the next price valuation for the investment fund/fund class.

NextValuationDateTime <NxtValtnDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.35.4.1.9 PreviousValuationDateTime <PrvsValtnDtTm>

Presence: [0..1]

Definition: Date and time of the previous price valuation for the investment fund/fund class.

PreviousValuationDateTime <PrvsValtnDtTm> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.35.4.1.10 ValuationType <ValtnTp>

Presence: [1..1]

Definition: Specifies how the valuation is done, based on the schedule stated in the prospectus.

Datatype: [ValuationTiming1Code](#) on page 3390

CodeName	Name	Definition
EXCP	Exceptional	Price valuation is done exceptionally, outside the timeframe specified in the prospectus.
USUA	Usual	Price valuation is done within the timeframe specified in the prospectus.
PATC	Particular	Price valuation that is done outside the usual timeframe, but in conformance with a case specified in the prospectus, eg, market closing day.

76.1.35.4.1.11 ValuationFrequency <ValtnFrqcy>

Presence: [0..1]

Definition: Frequency of the valuation.

Datatype: EventFrequency1Code on page 3276

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

76.1.35.4.1.12 OfficialValuationIndicator <OffcIValtnInd>

Presence: [1..1]

Definition: Indicates whether the valuation is an official valuation.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.35.4.1.13 SuspendedIndicator <SspdInd>

Presence: [1..1]

Definition: Indicates whether the valuation of the investment fund class is suspended.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.35.4.1.14 PriceDetails <PricDtls>

Presence: [0..*]

Definition: Amount of money for which goods or services are offered, sold, or bought.

Impacted by: [C8 CalculationBasisRule](#)

PriceDetails <PricDtls> contains the following elements (see [UnitPrice15](#) on page 2872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2874
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2876
	PriceMethod <PricMtd>	[0..1]	CodeSet		2876
	ValueInInvestmentCurrency <VallnInvstmtCcy>	[1..*]	±		2876
	ValueInAlternativeCurrency <VallnAltrntvCcy>	[0..*]	±		2876
	ForExecutionIndicator <ForExctnInd>	[1..1]	Indicator		2876
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		2877
	CalculationBasis <ClctnBsis>	[0..1]	Rate		2877
	EstimatedPriceIndicator <EstmtdPricInd>	[1..1]	Indicator		2877
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2877
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C3	2877
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]	CodeSet		2878
Or}	ExtendedTaxableIncomePerShareCalculated <XtndedTaxblIncmPerShrClctd>	[0..1]	Text		2878
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2878
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2879
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2879
	ChargeDetails <ChrgDtls>	[0..*]			2879
{Or	Type <Tp>	[1..1]	CodeSet		2880
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2880
{Or	Amount <Amt>	[1..1]	Amount	C2	2881
Or}	Rate <Rate>	[1..1]	Rate		2881
{Or	CalculationBasis <ClctnBsis>	[0..1]	CodeSet		2881
Or}	ExtendedCalculationBasis <XtndedClctnBsis>	[0..1]	Text		2882
	TaxLiabilityDetails <TaxLblyDtls>	[0..*]		C4	2882
{Or	Type <Tp>	[1..1]	CodeSet		2883
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2883
	Amount <Amt>	[0..7]	Amount	C3	2883
	Rate <Rate>	[0..1]	Rate		2884
	Country <Ctry>	[1..1]	CodeSet	C11	2884
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2884

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2885
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2885
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2885
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2886
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2886
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2886
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2886
	TaxRefundDetails <TaxRfndDtls>	[0..*]		C4	2887
{Or	Type <Tp>	[1..1]	CodeSet		2887
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2888
	Amount <Amt>	[0..7]	Amount	C3	2888
	Rate <Rate>	[0..1]	Rate		2889
	Country <Ctry>	[1..1]	CodeSet	C11	2889
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2889
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2890
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2890
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2890
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2891
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2891
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2891
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2891

Constraints

• **CalculationBasisRule**

(Rule)

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

76.1.35.4.1.15 ValuationStatistics <ValtnSttstcs>

Presence: [0..*]

Definition: Information related to the price variations of an investment fund class.

Impacted by: C13 CurrencyPredefinedPeriodsRule, C14 CurrencyPriceChangeRule, C15 CurrencyUserDefinedPeriodsRule

ValuationStatistics <ValtnSttstcs> contains the following elements (see [ValuationStatistics3 on page 2455](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C3	2457
	PriceTypeChangeBasis <PricTpChngBsis>	[1..1]		C18	2458
	Structured <Strd>	[1..1]	CodeSet		2458
	AdditionalInformation <AddtlInf>	[0..1]	Text		2459
	PriceChange <PricChng>	[1..1]		C5, C6	2459
	Amount <Amt>	[0..1]	Amount	C3	2460
	AmountSign <AmtSgn>	[0..1]	Indicator		2460
	Rate <Rate>	[0..1]	Rate		2461
	Yield <Yld>	[0..1]	Rate		2461
	ByPredefinedTimePeriods <ByPrdfndTmPrds>	[0..1]			2461
	HighestPriceValue12Months <HghstPricVal12Mnths>	[0..1]			2462
	Amount <Amt>	[1..1]	Amount	C3	2462
	LowestPriceValue12Months <LwstPricVal12Mnths>	[0..1]			2462
	Amount <Amt>	[1..1]	Amount	C3	2462
	OneYearPriceChange <OneYrPricChng>	[0..1]		C5, C6	2463
	Amount <Amt>	[0..1]	Amount	C3	2463
	AmountSign <AmtSgn>	[0..1]	Indicator		2464
	Rate <Rate>	[0..1]	Rate		2464
	ThreeYearPriceChange <ThreeYrPricChng>	[0..1]		C5, C6	2464
	Amount <Amt>	[0..1]	Amount	C3	2465
	AmountSign <AmtSgn>	[0..1]	Indicator		2465
	Rate <Rate>	[0..1]	Rate		2465
	FiveYearPriceChange <FiveYrPricChng>	[0..1]		C5, C6	2465
	Amount <Amt>	[0..1]	Amount	C3	2466
	AmountSign <AmtSgn>	[0..1]	Indicator		2466
	Rate <Rate>	[0..1]	Rate		2467
	ByUserDefinedTimePeriod <ByUsrDfndTmPrd>	[0..*]			2467
	Period <Prd>	[1..1]	±		2467
	HighestPriceValue <HghstPricVal>	[0..1]			2467
	Amount <Amt>	[1..1]	Amount	C3	2468

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LowestPriceValue <LwstPricVal>	[0..1]			2468
	Amount <Amt>	[1..1]	Amount	C3	2468
	PriceChange <PricChng>	[0..1]		C5, C6	2469
	Amount <Amt>	[0..1]	Amount	C3	2469
	AmountSign <AmtSgn>	[0..1]	Indicator		2470
	Rate <Rate>	[0..1]	Rate		2470
	Yield <Yld>	[0..1]	Rate		2470

Constraints

- **CurrencyPredefinedPeriodsRule**

(Rule)

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

- **CurrencyPriceChangeRule**

(Rule)

Currency in PriceChange/Amount must be the same as Currency.

- **CurrencyUserDefinedPeriodsRule**

(Rule)

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

76.1.35.4.1.16 PerformanceDetails <PrfrmncDtls>

Presence: [0..1]

Definition: Factors that give indications about the performance of a fund.

Impacted by: [C1 AccumulationPeriodRule](#)

PerformanceDetails <PrfrmncDtls> contains the following elements (see [PerformanceFactors1](#) on page 2382 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionFactor <CorpActnFctr>	[0..1]	Quantity		2383
	CumulativeCorporateActionFactor <CmltvCorpActnFctr>	[0..1]	Quantity		2383
	AccumulationPeriod <AcmltnPrd>	[0..1]	±		2383
	NormalPerformance <NrmIPrfrmnc>	[0..1]	Quantity		2383

Constraints

- **AccumulationPeriodRule**

(Rule)

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

76.1.35.5 TypeOfPrice46Choice

Definition: Choice of formats for a type of price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2855
Or}	Proprietary <Prtry>	[1..1]	±		2856

76.1.35.5.1 Code <Cd>

Presence: [1..1]

Definition: Type expressed as a code.

Datatype: [TypeOfPrice10Code on page 3382](#)

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account

CodeName	Name	Definition
		the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.

76.1.35.5.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.35.6 ProfitAndLoss2Choice

Definition: Choice between profit and loss.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2, C10	2856
Or}	Loss <Loss>	[1..1]	Amount	C2, C10	2857

76.1.35.6.1 Profit <Prft>

Presence: [1..1]

Definition: Value of the positive amount.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.35.6.2 Loss <Loss>

Presence: [1..1]

Definition: Value of the negative amount.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text*: Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00007

– *Error Text*: Invalid currency code or too many decimal digits.

76.1.35.7 UnitPrice22

Definition: Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2858
	Value <Val>	[1..1]	±		2858
	PriceMethod <PricMtd>	[0..1]	CodeSet		2859
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2859
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2859
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2860
{Or	Code <Cd>	[1..1]	CodeSet		2860
Or}	Proprietary <Prtry>	[1..1]	±		2860
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2860

76.1.35.7.1 Type <Tp>

Presence: [1..1]

Definition: Type and information about a price.

Type <Tp> contains one of the following elements (see [TypeOfPrice46Choice](#) on page 2855 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2855
Or}	Proprietary <Prtry>	[1..1]	±		2856

76.1.35.7.2 Value <Val>

Presence: [1..1]

Definition: Value of the price, for example, as a currency and value.

Value <Val> contains the following elements (see [PriceValue1](#) on page 2894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2894

76.1.35.7.3 PriceMethod <PricMtd>

Presence: [0..1]

Definition: Type of pricing calculation method.

Datatype: [PriceMethod1Code](#) on page 3330

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

76.1.35.7.4 NumberOfDaysAccrued <NbOfDaysAcrd>

Presence: [0..1]

Definition: Specifies the number of days used for calculating the accrued interest amount.

Datatype: [Number](#) on page 3405

76.1.35.7.5 TaxableIncomePerShare <TaxblIncmPerShr>

Presence: [0..1]

Definition: Amount included in the NAV that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyAnd13DecimalAmount](#) on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

76.1.35.7.6 TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>

Presence: [0..1]

Definition: Specifies whether the fund calculates a taxable interest per share (TIS).

TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd> contains one of the following **TaxableIncomePerShareCalculated2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2860
Or}	Proprietary <Prtry>	[1..1]	±		2860

76.1.35.7.6.1 Code <Cd>

Presence: [1..1]

Definition: Taxable income per share (TIS) calculated expressed as a code.

Datatype: [TaxableIncomePerShareCalculated2Code](#) on page 3360

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.

76.1.35.7.6.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Taxable income per share calculated (TIS) expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.35.7.7 PriceDifferenceReason <PricDiffRsn>

Presence: [0..1]

Definition: Reason why the price is different from the current market price.

Datatype: [Max350Text](#) on page 3409

76.1.35.8 ProfitAndLoss1Choice

Definition: Choice between profit and loss.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2	2861
Or}	Loss <Loss>	[1..1]	Amount	C2	2861

76.1.35.8.1 Profit <Prft>

Presence: [1..1]

Definition: Value of the positive amount.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.35.8.2 Loss <Loss>

Presence: [1..1]

Definition: Value of the negative amount.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- Error severity: Fatal
- Error Code: D00005
- Error Text: Invalid currency code

76.1.35.9 PriceInformation3

Definition: Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2862
	PriceType <PricTp>	[1..1]	±		2862
	SourceOfPrice <SrcOfPric>	[0..1]			2863
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2863
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2863
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2863
	QuotationDate <QtnDt>	[0..1]	±		2863
	YieldedIndicator <YlddInd>	[0..1]	Indicator		2864

76.1.35.9.1 Value <Val>

Presence: [1..1]

Definition: Value of the price, eg, as a currency and value.

Value <Val> contains one of the following elements (see [PriceRateOrAmountOrUnknownChoice](#) on page 2892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		2892
Or	Amount <Amt>	[1..1]	Amount	C3	2893
Or}	UnknownIndicator <UknwnInd>	[1..1]	Indicator		2893

76.1.35.9.2 PriceType <PricTp>

Presence: [1..1]

Definition: Amount of money for which goods or services are offered, sold, or bought.

PriceType <PricTp> contains one of the following elements (see [UnitPriceType1Choice](#) on page 2864 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2864
Or}	Proprietary <Prtry>	[1..1]	±		2865

76.1.35.9.3 SourceOfPrice <SrcOfPric>

Presence: [0..1]

Definition: Place from which the price was obtained.

SourceOfPrice <SrcOfPric> contains one of the following **PriceSourceFormatChoice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	LocalMarketPlace <LcIMktPlc>	[1..1]	IdentifierSet		2863
Or	NonLocalMarketPlace <NonLcIMktPlc>	[1..1]	±		2863
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2863

76.1.35.9.3.1 LocalMarketPlace <LcIMktPlc>

Presence: [1..1]

Definition: Source of price quotation is the market, expressed as a Market Identifier Code (MIC).

Datatype: [MICIdentifier on page 3401](#)

76.1.35.9.3.2 NonLocalMarketPlace <NonLcIMktPlc>

Presence: [1..1]

Definition: Source of a price quotation when it is not the local market.

NonLocalMarketPlace <NonLcIMktPlc> contains the following elements (see [PriceSource on page 2892](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceSource <PricSrc>	[1..1]	CodeSet		2892
	Narrative <Nrrtv>	[0..1]	Text		2892

76.1.35.9.3.3 PlaceAsDSS <PlcAsDSS>

Presence: [1..1]

Definition: Source of a price quotation expressed with a propriety identification scheme.

PlaceAsDSS <PlcAsDSS> contains the following elements (see [GenericIdentification5 on page 2018](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		2019
	Information <Inf>	[1..1]	Text		2019
	Narrative <Nrrtv>	[0..1]	Text		2019

76.1.35.9.4 QuotationDate <QtnDt>

Presence: [0..1]

Definition: Date on which the price is obtained. With an investment fund, this is as stated in the prospectus.

QuotationDate <QtnDt> contains one of the following elements (see [DateAndDateTimeChoice](#) on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1828
Or}	DateTime <DtTm>	[1..1]	DateTime		1828

76.1.35.9.5 YieldedIndicator <YiddInd>

Presence: [0..1]

Definition: Indicates whether the price is expressed as a yield. The absence of Yielded means it is not applicable.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.35.10 UnitPriceType1Choice

Definition: Choice of unit price type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2864
Or}	Proprietary <Prtry>	[1..1]	±		2865

76.1.35.10.1 Type <Tp>

Presence: [1..1]

Definition: Type and information about a price.

Datatype: [TypeOfPrice13Code](#) on page 3384

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or

CodeName	Name	Definition
		offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
NAVS	SidePocketNAV	Price is the estimated net asset value for the side pocket.
SWIC	Switch	Price is the price used when transferring units between products.
GAVL	GrossAssetValue	Price is the gross asset value per unit and includes the performance fee per share. It is used as the transacting price for a fund with equalisation. GAVL price minus the NAVL price = performance fee.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
EGAV	EstimatedGAV	Price is the estimated gross asset value per unit and includes the performance fee per share. It is used as the transacting price for a fund with equalisation. GAVL price minus the NAVL price = performance fee.

76.1.35.10.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type and information about a price.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13 on page 2020](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.35.11 Price6

Definition: Provides the value, type and source of price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateOrAmount <RateOrAmt>	[1..1]	±		2866
	Type <Tp>	[1..1]	CodeSet		2866
	Source <Src>	[1..1]	CodeSet		2868

76.1.35.11.1 RateOrAmount <RateOrAmt>

Presence: [1..1]

Definition: Value of the price expressed as a currency and value or as a rate.

RateOrAmount <RateOrAmt> contains one of the following elements (see [PriceRateOrAmountChoice on page 2893](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		2893
Or}	Amount <Amt>	[1..1]	Amount	C3	2894

76.1.35.11.2 Type <Tp>

Presence: [1..1]

Definition: Specification of the price type.

Datatype: [TypeOfPrice13Code on page 3384](#)

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or

CodeName	Name	Definition
		as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
NAVS	SidePocketNAV	Price is the estimated net asset value for the side pocket.
SWIC	Switch	Price is the price used when transferring units between products.
GAVL	GrossAssetValue	Price is the gross asset value per unit and includes the performance fee per share. It is used as the transacting price for a fund with equalisation. GAVL price minus the NAVL price = performance fee.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
EGAV	EstimatedGAV	Price is the estimated gross asset value per unit and includes the performance fee per share. It is used as the transacting price for a fund with equalisation. GAVL price minus the NAVL price = performance fee.

76.1.35.11.3 Source <Src>

Presence: [1..1]

Definition: Source for the price valuation.

Datatype: [PriceSource2Code](#) on page 3331

CodeName	Name	Definition
FUND	Fund	Source of price quotation is a fund, eg, transfer agent, fund itself.
THEO	Theoretical	Source of price quotation is a theoretical value based on the market yield.
VEND	Vendor	Source of price quotation is an external vendor.
EXCH	StockExchange	Source of price quotation is a stock exchange.

76.1.35.12 UnitPrice19

Definition: Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2868
{Or	Code <Cd>	[1..1]	CodeSet		2868
Or}	Proprietary <Prtry>	[1..1]	±		2869
	Value <Val>	[1..1]	±		2870

76.1.35.12.1 PriceType <PricTp>

Presence: [1..1]

Definition: Type of price.

PriceType <PricTp> contains one of the following **UnitPriceType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2868
Or}	Proprietary <Prtry>	[1..1]	±		2869

76.1.35.12.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of price expressed as a code.

Datatype: [TypeOfPrice10Code](#) on page 3382

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.

CodeName	Name	Definition
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.

76.1.35.12.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of price expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.35.12.2 Value <Val>

Presence: [1..1]

Definition: Value of the price, that is, as a currency and value.

Value <Val> contains the following elements (see [PriceValue1](#) on page 2894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2894

76.1.35.13 UnitPrice16

Definition: Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitPriceType <UnitPricTp>	[1..1]	±		2870
	Value <Val>	[1..1]	±		2871
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2871
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2871
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[1..1]	CodeSet		2871
Or}	Proprietary <Prtry>	[1..1]	±		2872

76.1.35.13.1 UnitPriceType <UnitPricTp>

Presence: [1..1]

Definition: Type of price.

UnitPriceType <UnitPricTp> contains one of the following elements (see [UnitPriceType1Choice](#) on page 2864 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2864
Or}	Proprietary <Prtry>	[1..1]	±		2865

76.1.35.13.2 Value <Val>

Presence: [1..1]

Definition: Value of the price, eg, as a currency and value.

Value <Val> contains the following elements (see [PriceValue1](#) on page 2894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2894

76.1.35.13.3 TaxableIncomePerShare <TaxblIncmPerShr>

Presence: [0..1]

Definition: Amount included in the NAV that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.35.13.4 TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>

Presence: [0..1]

Definition: Taxable income per share calculated.

TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd> contains one of the following **TaxableIncomePerShareCalculatedType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[1..1]	CodeSet		2871
Or}	Proprietary <Prtry>	[1..1]	±		2872

76.1.35.13.4.1 TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>

Presence: [1..1]

Definition: Specifies whether the fund calculates a taxable interest per share (TIS).

Datatype: [TaxableIncomePerShareCalculated2Code](#) on page 3360

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.

76.1.35.13.4.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Specifies whether the fund calculates a taxable interest per share (TIS).

Proprietary <Prtry> contains the following elements (see [GenericIdentification13](#) on page 2020 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.35.14 UnitPrice15

Definition: Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2874
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2876
	PriceMethod <PricMtd>	[0..1]	CodeSet		2876
	ValueInInvestmentCurrency <VallnInvstmtCcy>	[1..*]	±		2876
	ValueInAlternativeCurrency <VallnAltrntvCcy>	[0..*]	±		2876
	ForExecutionIndicator <ForExctnInd>	[1..1]	Indicator		2876
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		2877
	CalculationBasis <ClctnBsis>	[0..1]	Rate		2877
	EstimatedPriceIndicator <EstmtdPricInd>	[1..1]	Indicator		2877
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2877
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C3	2877
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]	CodeSet		2878
Or}	ExtendedTaxableIncomePerShareCalculated <XtndedTaxblIncmPerShrClctd>	[0..1]	Text		2878
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2878
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2879
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2879
	ChargeDetails <ChrgDtls>	[0..*]			2879
{Or	Type <Tp>	[1..1]	CodeSet		2880
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2880
{Or	Amount <Amt>	[1..1]	Amount	C2	2881
Or}	Rate <Rate>	[1..1]	Rate		2881
{Or	CalculationBasis <ClctnBsis>	[0..1]	CodeSet		2881
Or}	ExtendedCalculationBasis <XtndedClctnBsis>	[0..1]	Text		2882
	TaxLiabilityDetails <TaxLblyDtls>	[0..*]		C4	2882
{Or	Type <Tp>	[1..1]	CodeSet		2883
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2883
	Amount <Amt>	[0..7]	Amount	C3	2883
	Rate <Rate>	[0..1]	Rate		2884
	Country <Ctry>	[1..1]	CodeSet	C11	2884
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2884
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2885

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2885
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2885
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2886
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2886
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2886
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2886
	TaxRefundDetails <TaxRfndDtls>	[0..*]		C4	2887
{Or	Type <Tp>	[1..1]	CodeSet		2887
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2888
	Amount <Amt>	[0..7]	Amount	C3	2888
	Rate <Rate>	[0..1]	Rate		2889
	Country <Ctry>	[1..1]	CodeSet	C11	2889
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2889
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2890
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2890
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2890
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2891
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2891
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2891
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2891

Constraints

- **CalculationBasisRule**

(Rule)

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

76.1.35.14.1 Type <Tp>

Presence: [1..1]

Warning Either Type or ExtendedType must be present, but not both.

Definition: Type and information about a price.

Datatype: TypeOfPrice9Code on page 3388

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
NAUP	NonAdjustedUnpublished	The original NAV before the price of the investment fund was swung.
GUAR	Guaranteed	Price is a guaranteed price.
ENAV	EstimatedNAV	Price is an estimated net asset value per unit.

76.1.35.14.2 ExtendedType <XtndedTp>

Presence: [1..1]

Warning Either Type or ExtendedType must be present, but not both.

Definition: Type and information about a price.

Datatype: [Extended350Code](#) on page 3407

76.1.35.14.3 PriceMethod <PricMtd>

Presence: [0..1]

Definition: Type of pricing calculation method.

Datatype: [PriceMethod1Code](#) on page 3330

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

76.1.35.14.4 ValueInInvestmentCurrency <VallInvstmtCcy>

Presence: [1..*]

Definition: Value of the price, eg, as a currency and value.

ValueInInvestmentCurrency <VallInvstmtCcy> contains the following elements (see [PriceValue1](#) on page 2894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2894

76.1.35.14.5 ValueInAlternativeCurrency <VallAltrntvCcy>

Presence: [0..*]

Definition: Value of the price, eg, as a currency and value.

ValueInAlternativeCurrency <VallAltrntvCcy> contains the following elements (see [PriceValue1](#) on page 2894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2894

76.1.35.14.6 ForExecutionIndicator <ForExctnInd>

Presence: [1..1]

Definition: Indicates whether the price information can be used for the execution of a transaction.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.35.14.7 CumDividendIndicator <CumDvddInd>

Presence: [1..1]

Definition: Indicates whether the dividend is included, ie, cum-dividend, in the price. When the dividend is not included, the price will be ex-dividend.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.35.14.8 CalculationBasis <ClctnBsis>

Presence: [0..1]

Definition: Ratio applied on the non-adjusted price.

Datatype: [PercentageRate on page 3406](#)

76.1.35.14.9 EstimatedPriceIndicator <EstmtdPricInd>

Presence: [1..1]

Definition: Indicates whether the price is an estimated price.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.35.14.10 NumberOfDaysAccrued <NbOfDaysAcrd>

Presence: [0..1]

Definition: Specifies the number of days from trade date that the counterparty on the other side of the trade should "given up" or divulged.

Datatype: [Number on page 3405](#)

76.1.35.14.11 TaxableIncomePerShare <TaxblIncmPerShr>

Presence: [0..1]

Definition: Amount included in the NAV that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

Impacted by: [C3 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**
(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.35.14.12 TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>

Presence: [0..1]

Warning Either TaxableIncomePerShareCalculated or ExtendedTaxableIncomePerShareCalculated may be present, but not both.

Definition: Specifies whether the fund calculates a taxable interest per share (TIS).

Datatype: TaxableIncomePerShareCalculated2Code on page 3360

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.

76.1.35.14.13 ExtendedTaxableIncomePerShareCalculated <XtndedTaxblIncmPerShrClctd>

Presence: [0..1]

Warning Either TaxableIncomePerShareCalculated or ExtendedTaxableIncomePerShareCalculated may be present, but not both.

Definition: Specifies whether the fund calculates a taxable interest per share (TIS).

Datatype: Extended350Code on page 3407

76.1.35.14.14 TaxableIncomePerDividend <TaxblIncmPerDvdd>

Presence: [0..1]

Definition: Amount included in the dividend that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

• **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.35.14.15 EUDividendStatus <EUDvddSts>

Presence: [0..1]

Warning Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

Definition: Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Datatype: EUDividendStatus1Code on page 3275

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

76.1.35.14.16 ExtendedEUDividendStatus <XtndedEUDvddSts>

Presence: [0..1]

Warning Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

Definition: Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Datatype: Extended350Code on page 3407

76.1.35.14.17 ChargeDetails <ChrgDtls>

Presence: [0..*]

Definition: Amount of money associated with a service.

ChargeDetails <ChrgDtls> contains the following **Charge15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2880
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2880
{Or	Amount <Amt>	[1..1]	Amount	C2	2881
Or}	Rate <Rate>	[1..1]	Rate		2881
{Or	CalculationBasis <ClctnBsis>	[0..1]	CodeSet		2881
Or}	ExtendedCalculationBasis <XtndedClctnBsis>	[0..1]	Text		2882

76.1.35.14.17.1 Type <Tp>

Presence: [1..1]

Warning Either Type or ExtendedType must be present, but not both.

Definition: Type of service for which a charge is asked or paid.

Datatype: [ChargeType9Code on page 3258](#)

CodeName	Name	Definition
MANF	ManagementFee	Fee paid to an investment manager for services. The fee usually includes fund administration costs and investor relationship management. Typically, the amount paid is a percentage of the assets under management.
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
ADVI	AdvisoryFee	Fee paid for advisory services rendered.
CUST	CustodyFee	Fee paid to a custodian in respect of custodial services.
PUBL	PublicationFee	Fee paid in respect of publications made.
ACCT	AccountingFee	Fee paid for accounting services rendered.
EQUL	Equalisation	The part of an investor's subscription amount that is held by the fund in order to pay incentive or performance fees at the end of the fiscal year.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

76.1.35.14.17.2 ExtendedType <XtndedTp>

Presence: [1..1]

Warning Either Type or ExtendedType must be present, but not both.

Definition: Type of service for which a charge is asked or paid.

Datatype: [Extended350Code on page 3407](#)

76.1.35.14.17.3 Amount <Amt>

Presence: [1..1]

Warning Either Amount or Rate must be present, but not both.

Definition: Amount of money asked or paid for the charge.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyAnd13DecimalAmount on page 3237](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.35.14.17.4 Rate <Rate>

Presence: [1..1]

Warning Either Amount or Rate must be present, but not both.

Definition: Rate used to calculate the amount of the charge or fee.

Datatype: [PercentageRate on page 3406](#)

76.1.35.14.17.5 CalculationBasis <ClctnBsis>

Presence: [0..1]

Warning Either CalculationBasis or ExtendedCalculationBasis may be present, but not both.

Definition: Calculation basis for the charge or fee.

Datatype: [CalculationBasis2Code on page 3251](#)

CodeName	Name	Definition
AVER	Average	Average basis.
DAIL	Daily	Daily basis.

CodeName	Name	Definition
MNTH	Monthly	Monthly basis.
YEAR	Annual	Yearly basis.

76.1.35.14.17.6 ExtendedCalculationBasis <XtndedClctnBsis>

Presence: [0..1]

Warning Either CalculationBasis or ExtendedCalculationBasis may be present, but not both.

Definition: Calculation basis for the charge or fee.

Datatype: Extended350Code on page 3407

76.1.35.14.18 TaxLiabilityDetails <TaxLblyDtls>

Presence: [0..*]

Definition: Information related to taxes that are due.

Impacted by: C4 AmountAndOrRateRule

TaxLiabilityDetails <TaxLblyDtls> contains the following **Tax17** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2883
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2883
	Amount <Amt>	[0..7]	Amount	C3	2883
	Rate <Rate>	[0..1]	Rate		2884
	Country <Ctry>	[1..1]	CodeSet	C11	2884
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2884
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2885
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2885
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2885
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2886
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2886
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2886
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2886

Constraints

- **AmountAndOrRateRule**
(Rule)

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

76.1.35.14.18.1 Type <Tp>

Presence: [1..1]

Warning Either Type or ExtendedType must be present, but not both.

Definition: Type of tax applied.

Datatype: [TaxType12Code on page 3372](#)

CodeName	Name	Definition
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.
MIET	Mietgewinn	Earnings from renting.

76.1.35.14.18.2 ExtendedType <XtndedTp>

Presence: [1..1]

Warning Either Type or ExtendedType must be present, but not both.

Definition: Type of tax applied.

Datatype: [Extended350Code on page 3407](#)

76.1.35.14.18.3 Amount <Amt>

Presence: [0..7]

Definition: Amount of money resulting from the calculation of the tax.

Impacted by: [C3 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.35.14.18.4 Rate <Rate>

Presence: [0..1]

Definition: Rate used to calculate the tax.

Datatype: PercentageRate on page 3406

76.1.35.14.18.5 Country <Ctry>

Presence: [1..1]

Definition: Country where the tax is due.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.35.14.18.6 TaxCalculationDetails <TaxClctnDtls>

Presence: [0..1]

Definition: Information used to calculate the tax.

TaxCalculationDetails <TaxClctnDtls> contains the following **TaxCalculationInformation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2885
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2885
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2885
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2886
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2886
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2886
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2886

76.1.35.14.18.6.1 EUCapitalGain <EUCptlGn>

Presence: [0..1]

Warning Either EUCapitalGain or ExtendedEUCapitalGain may be present, but not both.

Definition: Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Datatype: [EUCapitalGain2Code](#) on page 3275

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

76.1.35.14.18.6.2 ExtendedEUCapitalGain <XtndedEUCptlGn>

Presence: [0..1]

Warning Either EUCapitalGain or ExtendedEUCapitalGain may be present, but not both.

Definition: Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Datatype: [Extended350Code](#) on page 3407

76.1.35.14.18.6.3 PercentageOfDebtClaim <PctgOfDebtClm>

Presence: [0..1]

Definition: Percentage of the underlying assets of the funds that represents a debt and is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June).

Datatype: [PercentageRate](#) on page 3406

76.1.35.14.18.6.4 PercentageGrandfatheredDebt <PctgGrdfthdDebt>

Presence: [0..1]

Definition: Percentage of grandfathered debt claim.

Datatype: PercentageRate on page 3406

76.1.35.14.18.6.5 TaxableIncomePerDividend <TaxblIncmPerDvdd>

Presence: [0..1]

Definition: Amount included in the dividend that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.35.14.18.6.6 EUDividendStatus <EUDvddSts>

Presence: [0..1]

Warning Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

Definition: Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Datatype: EUDividendStatus1Code on page 3275

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

76.1.35.14.18.6.7 ExtendedEUDividendStatus <XtndedEUDvddSts>

Presence: [0..1]

Warning Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

Definition: Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Datatype: [Extended350Code on page 3407](#)

76.1.35.14.19 TaxRefundDetails <TaxRfndDtls>

Presence: [0..*]

Definition: Information related to taxes that are paid back.

Impacted by: [C4 AmountAndOrRateRule](#)

TaxRefundDetails <TaxRfndDtls> contains the following **Tax17** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2887
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2888
	Amount <Amt>	[0..7]	Amount	C3	2888
	Rate <Rate>	[0..1]	Rate		2889
	Country <Ctry>	[1..1]	CodeSet	C11	2889
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2889
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2890
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2890
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2890
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2891
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2891
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2891
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2891

Constraints

- **AmountAndOrRateRule**

(Rule)

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

76.1.35.14.19.1 Type <Tp>

Presence: [1..1]

Warning Either Type or ExtendedType must be present, but not both.

Definition: Type of tax applied.

Datatype: [TaxType12Code on page 3372](#)

CodeName	Name	Definition
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share- related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share- related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.
MIET	Mietgewinn	Earnings from renting.

76.1.35.14.19.2 ExtendedType <XtndedTp>

Presence: [1..1]

Warning Either Type or ExtendedType must be present, but not both.

Definition: Type of tax applied.

Datatype: [Extended350Code on page 3407](#)

76.1.35.14.19.3 Amount <Amt>

Presence: [0..7]

Definition: Amount of money resulting from the calculation of the tax.

Impacted by: [C3 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.35.14.19.4 Rate <Rate>

Presence: [0..1]

Definition: Rate used to calculate the tax.

Datatype: PercentageRate on page 3406

76.1.35.14.19.5 Country <Ctry>

Presence: [1..1]

Definition: Country where the tax is due.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

• **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.35.14.19.6 TaxCalculationDetails <TaxClctnDtls>

Presence: [0..1]

Definition: Information used to calculate the tax.

TaxCalculationDetails <TaxClctnDtls> contains the following **TaxCalculationInformation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2890
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2890
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2890
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2891
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2891
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2891
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2891

76.1.35.14.19.6.1 EUCapitalGain <EUCptlGn>

Presence: [0..1]

Warning Either EUCapitalGain or ExtendedEUCapitalGain may be present, but not both.

Definition: Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Datatype: [EUCapitalGain2Code](#) on page 3275

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

76.1.35.14.19.6.2 ExtendedEUCapitalGain <XtndedEUCptlGn>

Presence: [0..1]

Warning Either EUCapitalGain or ExtendedEUCapitalGain may be present, but not both.

Definition: Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Datatype: [Extended350Code](#) on page 3407

76.1.35.14.19.6.3 PercentageOfDebtClaim <PctgOfDebtClm>

Presence: [0..1]

Definition: Percentage of the underlying assets of the funds that represents a debt and is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June).

Datatype: [PercentageRate](#) on page 3406

76.1.35.14.19.6.4 PercentageGrandfatheredDebt <PctgGrdfthdDebt>

Presence: [0..1]

Definition: Percentage of grandfathered debt claim.

Datatype: PercentageRate on page 3406

76.1.35.14.19.6.5 TaxableIncomePerDividend <TaxblIncmPerDvdd>

Presence: [0..1]

Definition: Amount included in the dividend that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.35.14.19.6.6 EUDividendStatus <EUDvddSts>

Presence: [0..1]

Warning Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

Definition: Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Datatype: EUDividendStatus1Code on page 3275

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

76.1.35.14.19.6.7 ExtendedEUDividendStatus <XtndedEUDvddSts>

Presence: [0..1]

Warning Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

Definition: Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Datatype: [Extended350Code on page 3407](#)

76.1.35.15 PriceSource

Definition: Source of a price quotation when it is not the local market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceSource <PricSrc>	[1..1]	CodeSet		2892
	Narrative <Nrrtv>	[0..1]	Text		2892

76.1.35.15.1 PriceSource <PricSrc>

Presence: [1..1]

Definition: Source of the price.

Datatype: [PriceSource1Code on page 3330](#)

CodeName	Name	Definition
FUND	Fund	Source of price quotation is a fund, eg, transfer agent, fund itself.
THEO	Theoretical	Source of price quotation is a theoretical value based on the market yield.
VEND	Vendor	Source of price quotation is an external vendor.

76.1.35.15.2 Narrative <Nrrtv>

Presence: [0..1]

Definition: Additional information about the source of a price.

Datatype: [Max35Text on page 3409](#)

76.1.35.16 PriceRateOrAmountOrUnknownChoice

Definition: Choice of formats for the price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		2892
Or	Amount <Amt>	[1..1]	Amount	C3	2893
Or}	UnknownIndicator <UknwnInd>	[1..1]	Indicator		2893

76.1.35.16.1 Rate <Rate>

Presence: [1..1]

Definition: Price expressed as a rate, ie, percentage.

Datatype: [PercentageRate on page 3406](#)

76.1.35.16.2 Amount <Amt>

Presence: [1..1]

Definition: Price expressed as a currency and value.

Impacted by: [C3 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.35.16.3 UnknownIndicator <UknwnInd>

Presence: [1..1]

Definition: Indicates whether the market price is unknown.

Datatype: One of the following values must be used (see [YesNoIndicator on page 3405](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.35.17 PriceRateOrAmountChoice

Definition: Choice of formats for the price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		2893
Or}	Amount <Amt>	[1..1]	Amount	C3	2894

76.1.35.17.1 Rate <Rate>

Presence: [1..1]

Definition: Price expressed as a rate, that is percentage.

Datatype: [PercentageRate on page 3406](#)

76.1.35.17.2 Amount <Amt>

Presence: [1..1]

Definition: Price expressed as a currency and value.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.36 Price Value

76.1.36.1 PriceValue1

Definition: Value given to a price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2894

76.1.36.1.1 Amount <Amt>

Presence: [1..1]

Definition: Price expressed as a currency and value.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.37 Quantity

76.1.37.1 Quantity47

Definition: Quantity of assets.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[0..1]	Quantity		2895
	PercentageRate <PctgRate>	[0..1]	Rate		2895
	FaceAmount <FaceAmt>	[0..1]	Amount		2895
	AmortisedValue <AmtsdVal>	[0..1]	Amount		2895
	CashAmount <CshAmt>	[0..1]	Amount	C2	2896
	OtherAsset <OthrAsst>	[0..1]	Text		2896

76.1.37.1.1 Unit <Unit>

Presence: [0..1]

Definition: Quantity of security to be transferred.

Datatype: [DecimalNumber on page 3405](#)

76.1.37.1.2 PercentageRate <PctgRate>

Presence: [0..1]

Definition: Percentage rate of assets to be transferred.

Datatype: [PercentageRate on page 3406](#)

76.1.37.1.3 FaceAmount <FaceAmt>

Presence: [0..1]

Definition: Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.

Datatype: [ImpliedCurrencyAndAmount on page 3241](#)

76.1.37.1.4 AmortisedValue <AmtsdVal>

Presence: [0..1]

Definition: Quantity expressed as an amount representing the current amortised face amount of a bond, for example, a periodic reduction/increase of a bond's principal amount.

Datatype: [ImpliedCurrencyAndAmount on page 3241](#)

76.1.37.1.5 CashAmount <CshAmt>

Presence: [0..1]

Definition: Cash amount to be transferred.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.37.1.6 OtherAsset <OthrAsst>

Presence: [0..1]

Definition: Quantity of asset to be transferred.

Datatype: Max35Text on page 3409

76.1.38 Report Parameter

76.1.38.1 DataFormat2Choice

Definition: Choice between the specification of the data in a structured or unstructured form.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Structured <Strd>	[1..1]	±		2896
Or}	Unstructured <Ustrd>	[1..1]	Text		2897

76.1.38.1.1 Structured <Strd>

Presence: [1..1]

Definition: Specification of data in a structured form.

Structured <Strd> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.38.1.2 Unstructured <Ustrd>

Presence: [1..1]

Definition: Specification of data for which there isn't a structured form.

Datatype: [Max140Text](#) on page 3407

76.1.38.2 FrequencyCodeAndDSSCode1Choice

Definition: Choice between formats for the frequency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2897
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2898

76.1.38.2.1 FrequencyAsCode <FrqcyAsCd>

Presence: [1..1]

Definition: Frequency expressed as a code.

Datatype: [EventFrequency1Code](#) on page 3276

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.

CodeName	Name	Definition
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

76.1.38.2.2 FrequencyAsDSS <FrqcyAsDSS>

Presence: [1..1]

Definition: Frequency expressed as a data source scheme and a code used within the data source scheme.

FrequencyAsDSS <FrqcyAsDSS> contains the following elements (see [GenericIdentification7](#) on page 2017 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		2018
	Information <Inf>	[1..1]	Text		2018

76.1.39 Safekeeping Place

76.1.39.1 SafekeepingPlaceFormatChoice

Definition: Choice of formats for the place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2898
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2899
	Narrative <Nrrtv>	[0..1]	Text		2899
	Party <Pty>	[0..1]	±		2899
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2900
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C11	2900

76.1.39.1.1 Identification <Id>

Presence: [1..1]

Definition: Place of safekeeping expressed as a code and BIC.

Impacted by: [C13 Party1Rule](#)

Identification <Id> contains the following **SafekeepingPlaceAsCodeAndPartyIdentification** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2899
	Narrative <Nrrtv>	[0..1]	Text		2899
	Party <Pty>	[0..1]	±		2899

Constraints

- **Party1Rule**

(Rule)

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

76.1.39.1.1.1 PlaceSafekeeping <PlcSfkpg>

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: [SafekeepingPlace1Code on page 3347](#)

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.

76.1.39.1.1.2 Narrative <Nrrtv>

Presence: [0..1]

Definition: Additional information about the place of safekeeping.

Datatype: [Max35Text on page 3409](#)

76.1.39.1.1.3 Party <Pty>

Presence: [0..1]

Definition: Place of safekeeping.

Party <Pty> contains the following elements (see [PartyIdentification3 on page 2492](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2492

76.1.39.1.2 IdentificationAsDSS <IdAsDSS>

Presence: [1..1]

Definition: Place of safekeeping expressed with a propriety identification scheme.

IdentificationAsDSS <IdAsDSS> contains the following elements (see [GenericIdentification5](#) on page 2018 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		2019
	Information <Inf>	[1..1]	Text		2019
	Narrative <Nrrtv>	[0..1]	Text		2019

76.1.39.1.3 IdentificationAsCountry <IdAsCtry>

Presence: [1..1]

Definition: Place of safekeeping expressed with a country code.

Impacted by: [C11 Country](#)

Datatype: [CountryCode](#) on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.39.2 SafekeepingPlaceFormat28Choice

Definition: Choice of formats for a place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2901
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2901
	Identification <Id>	[0..1]	Text		2901
Or	Country <Ctry>	[1..1]	CodeSet	C11	2901
Or	TypeAndIdentification <TpAndId>	[1..1]			2902
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2902
	Identification <Id>	[1..1]	IdentifierSet	C1	2902
Or}	Proprietary <Prtry>	[1..1]	±		2903

76.1.39.2.1 Identification <Id>

Presence: [1..1]

Definition: Place of safekeeping expressed as a code and a narrative description.

Identification <Id> contains the following **SafekeepingPlaceTypeAndText6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2901
	Identification <Id>	[0..1]	Text		2901

76.1.39.2.1.1 SafekeepingPlaceType <SfkpgPlcTp>

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: [SafekeepingPlace2Code](#) on page 3348

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.

76.1.39.2.1.2 Identification <Id>

Presence: [0..1]

Definition: Additional information about the place of safekeeping.

Datatype: [Max35Text](#) on page 3409

76.1.39.2.2 Country <Ctry>

Presence: [1..1]

Definition: Place of safekeeping expressed with a country code.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.39.2.3 TypeAndIdentification <TpAndId>

Presence: [1..1]

Definition: Place of safekeeping expressed with a type and identification.

TypeAndIdentification <TpAndId> contains the following **SafekeepingPlaceTypeAndIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2902
	Identification <Id>	[1..1]	IdentifierSet	C1	2902

76.1.39.2.3.1 SafekeepingPlaceType <SfkpgPlcTp>

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: SafekeepingPlace1Code on page 3347

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.

76.1.39.2.3.2 Identification <Id>

Presence: [1..1]

Definition: Place of safekeeping.

Impacted by: C1 AnyBIC

Datatype: [AnyBICDec2014Identifier](#) on page 3392

Constraints

- **AnyBIC**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.39.2.4 Proprietary <Prtry>

Presence: [1..1]

Definition: Place of safekeeping expressed with a propriety identification scheme.

Proprietary <Prtry> contains the following elements (see [GenericIdentification78](#) on page 2006 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2006
	Identification <Id>	[0..1]	Text		2006

76.1.39.3 SafekeepingPlaceFormat8Choice

Definition: Choice of formats for the place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2904
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2904
	Identification <Id>	[0..1]	Text		2904
Or	Country <Ctry>	[1..1]	CodeSet	C11	2904
Or	TypeAndIdentification <TpAndId>	[1..1]			2905
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2905
	Identification <Id>	[1..1]	IdentifierSet	C7	2905
Or}	Proprietary <Prtry>	[1..1]	±		2906

76.1.39.3.1 Identification <Id>

Presence: [1..1]

Definition: Place of safekeeping expressed as a code and a narrative description.

Identification <Id> contains the following **SafekeepingPlaceTypeAndText6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2904
	Identification <Id>	[0..1]	Text		2904

76.1.39.3.1.1 SafekeepingPlaceType <SfkpgPlcTp>

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: [SafekeepingPlace2Code on page 3348](#)

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.

76.1.39.3.1.2 Identification <Id>

Presence: [0..1]

Definition: Additional information about the place of safekeeping.

Datatype: [Max35Text on page 3409](#)

76.1.39.3.2 Country <Ctry>

Presence: [1..1]

Definition: Place of safekeeping expressed with a country code.

Impacted by: [C11 Country](#)

Datatype: [CountryCode on page 3267](#)

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004

– *Error Text:* Invalid Country Code.

76.1.39.3.3 TypeAndIdentification <TpAndId>

Presence: [1..1]

Definition: Place of safekeeping expressed with a type and identification.

TypeAndIdentification <TpAndId> contains the following **SafekeepingPlaceTypeAndAnyBICIdentifier1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2905
	Identification <Id>	[1..1]	IdentifierSet	C7	2905

76.1.39.3.3.1 SafekeepingPlaceType <SfkpgPlcTp>

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: [SafekeepingPlace1Code on page 3347](#)

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.

76.1.39.3.3.2 Identification <Id>

Presence: [1..1]

Definition: Place of safekeeping.

Impacted by: C7 AnyBIC

Datatype: [AnyBICIdentifier on page 3392](#)

Constraints

- **AnyBIC**

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.1.39.3.4 Proprietary <Prtry>

Presence: [1..1]

Definition: Place of safekeeping expressed with a propriety identification scheme.

Proprietary <Prtry> contains the following elements (see [GenericIdentification78 on page 2006](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2006
	Identification <Id>	[0..1]	Text		2006

76.1.40 Securities Identification

76.1.40.1 AlternateSecurityIdentification1

Definition: Proprietary or domestic identification scheme that uniquely identifies a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2906
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	2906
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		2907

76.1.40.1.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identifier of a security.

Datatype: [Max35Text on page 3409](#)

76.1.40.1.2 DomesticIdentificationSource <DmstldSrc>

Presence: [1..1]

Warning Either DomesticIdentificationSource or ProprietaryIdentificationSource must be present, but not both.

Definition: Country of the proprietary identification scheme.

Impacted by: [C11 Country](#)

Datatype: [CountryCode on page 3267](#)

Constraints

• **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.40.1.3 ProprietaryIdentificationSource <PrtryldSrc>

Presence: [1..1]

Warning Either DomesticIdentificationSource or ProprietaryIdentificationSource must be present, but not both.

Definition: Entity that issues the proprietary identification.

Datatype: [Max35Text](#) on page 3409

76.1.40.2 SecurityIdentification3Choice

Definition: Choice between formats for the identification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2908
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2908
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2908
Or	RIC <RIC>	[1..1]	IdentifierSet		2908
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2908
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2908
Or	CTA <CTA>	[1..1]	IdentifierSet		2908
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2909
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2909
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2909
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		2909
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2909
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2909
Or	Common <Cmon>	[1..1]	IdentifierSet		2909
Or}	OtherProprietaryIdentification <OthrPrtryld>	[1..1]	±		2910

76.1.40.2.1 ISIN <ISIN>

Presence: [1..1]

Definition: International Securities Identification Number (ISIN). A numbering system designed by the United Nation's International Organisation for Standardisation (ISO). The ISIN is composed of a 2-character prefix representing the country of issue, followed by the national security number (if one exists), and a check digit. Each country has a national numbering agency that assigns ISIN numbers for securities in that country.

Datatype: [ISINIdentifier on page 3400](#)

76.1.40.2.2 SEDOL <SEDOL>

Presence: [1..1]

Definition: Stock Exchange Daily Official List (SEDOL) number. A code used by the London Stock Exchange to identify foreign stocks, especially those that aren't actively traded in the US and don't have a CUSIP number.

Datatype: [SEDOLIdentifier on page 3402](#)

76.1.40.2.3 CUSIP <CUSIP>

Presence: [1..1]

Definition: Committee on Uniform Securities and Identification Procedures (CUSIP). The standards body that created and maintains the securities classification system in the US. The CUSIP is composed of a 9-character number that uniquely identifies a particular security. Non-US securities have a similar number called the CINS number.

Datatype: [CUSIPIdentifier on page 3396](#)

76.1.40.2.4 RIC <RIC>

Presence: [1..1]

Definition: Reuters Identification Code (RIC). A numbering system used within the Reuters system to identify instruments worldwide. The RIC contains an X-character market specific code (can be the CUSIP or EPIC codes) followed by a full stop, then the two-digit ISO country code, eg, IBM in UK is IBM.UK.

Datatype: [RICIdentifier on page 3402](#)

76.1.40.2.5 TickerSymbol <TckrSymb>

Presence: [1..1]

Definition: Letters that identify a stock traded on a stock exchange. The Ticker Symbol is a short and convenient way of identifying a stock, eg, RTR.L for Reuters quoted in London.

Datatype: [TickerIdentifier on page 3404](#)

76.1.40.2.6 Bloomberg <Blmbrg>

Presence: [1..1]

Definition: Identifier of a security assigned by the Bloomberg organisation.

Datatype: [BloombergIdentifier on page 3395](#)

76.1.40.2.7 CTA <CTA>

Presence: [1..1]

Definition: Identifier of a security assigned by the Consolidated Tape Association.

Datatype: ConsolidatedTapeAssociationIdentifier on page 3396

76.1.40.2.8 QUICK <QUICK>

Presence: [1..1]

Definition: Identifier of a security assigned by the Japanese QUICK identification scheme for financial instruments.

Datatype: QUICKIdentifier on page 3401

76.1.40.2.9 Wertpapier <Wrtppr>

Presence: [1..1]

Definition: Wertpapier Kenn-nummer. A number issued in Germany by the Wertpapier Mitteilungen. The Wertpapier Kenn-nummer, sometimes called WPK, contains 6-digits, but no check digit. There are different ranges of numbers representing different classes of securities.

Datatype: WertpapierIdentifier on page 3404

76.1.40.2.10 Dutch <Dtch>

Presence: [1..1]

Definition: Identifier for Dutch securities.

Datatype: DutchIdentifier on page 3397

76.1.40.2.11 Valoren <Vlrn>

Presence: [1..1]

Definition: Identifier for Swiss securities assigned by Telekurs Financial, the Swiss numbering agency.

Datatype: ValorenIdentifier on page 3404

76.1.40.2.12 Sicovam <SCVM>

Presence: [1..1]

Definition: Identifier for French securities assigned by the Societe Interprofessionnelle Pour La Compensation des Valeurs Mobilieres in France. The Sicovam is composed of 5-digits.

Datatype: SicovamIdentifier on page 3402

76.1.40.2.13 Belgian <Belgn>

Presence: [1..1]

Definition: Identifier for Belgian securities.

Datatype: BelgianIdentifier on page 3393

76.1.40.2.14 Common <Cmon>

Presence: [1..1]

Definition: Identifier of securities issued in Luxembourg. The common code is a 9-digit code that replaces the CEDEL (Clearstream) and Euroclear codes.

Datatype: EuroclearClearstreamIdentifier on page 3397

76.1.40.2.15 OtherProprietaryIdentification <OthrPrtryld>

Presence: [1..1]

Definition: Proprietary identification of a security assigned by an institution or organisation.

OtherProprietaryIdentification <OthrPrtryld> contains the following elements (see [AlternateSecurityIdentification1](#) on page 2906 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2906
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	2906
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		2907

76.1.41 Securities Quantity

76.1.41.1 FinancialInstrumentQuantity1

Definition: Quantity of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2910

76.1.41.1.1 Unit <Unit>

Presence: [1..1]

Definition: Quantity expressed as a number, eg, a number of shares.

Datatype: [DecimalNumber](#) on page 3405

76.1.41.2 UnitsOrAmountOrPercentage1Choice

Definition: Choice between an amount or number of units or percentage.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	2910
Or	Unit <Unit>	[1..1]	Quantity		2911
Or}	Percentage <Pctg>	[1..1]	Rate		2911

76.1.41.2.1 Amount <Amt>

Presence: [1..1]

Definition: Cash amount.

Impacted by: [C2 ActiveCurrency](#) ____, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.41.2.2 Unit <Unit>

Presence: [1..1]

Definition: Number of units.

Datatype: DecimalNumber on page 3405

76.1.41.2.3 Percentage <Pctg>

Presence: [1..1]

Definition: Percentage of cash amount.

Datatype: PercentageRate on page 3406

76.1.41.3 FinancialInstrumentQuantityChoice

Definition: Choice between formats for the quantity of security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		2912
Or	FaceAmount <FaceAmt>	[1..1]	Amount		2912
Or}	AmortisedValue <AmtsVal>	[1..1]	Amount		2912

76.1.41.3.1 Unit <Unit>

Presence: [1..1]

Definition: Quantity expressed as a number, eg, a number of shares.

Datatype: [DecimalNumber on page 3405](#)

76.1.41.3.2 FaceAmount <FaceAmt>

Presence: [1..1]

Definition: Quantity expressed as an amount representing the face amount, ie, the principal, of a debt instrument.

Datatype: [ImpliedCurrencyAndAmount on page 3241](#)

76.1.41.3.3 AmortisedValue <AmtsdVal>

Presence: [1..1]

Definition: Quantity expressed as an amount representing the current amortised face amount of a bond, eg, a periodic reduction of a bond's principal amount.

Datatype: [ImpliedCurrencyAndAmount on page 3241](#)

76.1.42 Service Level Agreement

76.1.42.1 DocumentToSend4

Definition: Type of document and the type of communication method to be used to notify a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2912
	Recipient <Rcpt>	[1..1]	±		2912
	MethodOfTransmission <MtdOfTrnsmssn>	[1..1]			2913
{Or	Code <Cd>	[1..1]	CodeSet		2913
Or}	Proprietary <Prtry>	[1..1]	±		2913

76.1.42.1.1 Type <Tp>

Presence: [1..1]

Definition: Type of document.

Datatype: [Max140Text on page 3407](#)

76.1.42.1.2 Recipient <Rcpt>

Presence: [1..1]

Definition: Party that should receive the document.

Recipient <Rcpt> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.42.1.3 MethodOfTransmission <MtdOfTrnsmssn>

Presence: [1..1]

Definition: Communication method to be used.

MethodOfTransmission <MtdOfTrnsmssn> contains one of the following **CommunicationMethod3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2913
Or}	Proprietary <Prtry>	[1..1]	±		2913

76.1.42.1.3.1 Code <Cd>

Presence: [1..1]

Definition: Method of transmission expressed as a code.

Datatype: [CommunicationMethod1Code](#) on page 3260

CodeName	Name	Definition
SWMT	SWIFTMT	Transmission by Swift (FIN).
SWMX	SWIFTMX	Transmission by SWIFTNET.
FAXI	Fax	Transmission by fax.
EMAL	Email	Transmission by e-mail.
PROP	Proprietary	Transmission by proprietary method.

76.1.42.1.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Method of transmission expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.42.2 ModificationScope44

Definition: Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2914
	ServiceLevelAgreement <SvcLvIAgrmt>	[1..1]	±		2914

76.1.42.2.1 ModificationScopeIndication <ModScplIndctn>

Presence: [1..1]

Definition: Specifies the type of modification to be applied.

Datatype: [DataModification1Code](#) on page 3270

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.1.42.2.2 ServiceLevelAgreement <SvcLvIAgrmt>

Presence: [1..1]

Definition: Identification of information which is part of a service level agreement.

ServiceLevelAgreement <SvcLvIAgrmt> contains the following elements (see [DocumentToSend4](#) on page 2912 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2912
	Recipient <Rcpt>	[1..1]	±		2912
	MethodOfTransmission <MtdOfTrnsmssn>	[1..1]			2913
{Or	Code <Cd>	[1..1]	CodeSet		2913
Or}	Proprietary <Prtry>	[1..1]	±		2913

76.1.43 Settlement Chain

76.1.43.1 SettlementParties94

Definition: Chain of parties involved in the settlement of a transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		2917
	Party1 <Pty1>	[0..1]	±		2917
	Party2 <Pty2>	[0..1]	±		2918
	Party3 <Pty3>	[0..1]	±		2918
	Party4 <Pty4>	[0..1]	±		2918
	Party5 <Pty5>	[0..1]	±		2919

Constraints

- **BookTransferGuideline**

(Rule)

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on www.smpg.info.

- **DepositoryGuideline**

(Rule)

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on www.smpg.info.

- **Party2PresenceRule**

(Rule)

If Party2 is present, then Party1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00128

– *Error Text:* Party1 must be present.

- **Party3PresenceRule**

(Rule)

If Party3 is present, then Party2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00129
- *Error Text:* Party2 must be present.

- **Party4PresenceRule**

(Rule)

If Party4 is present, then Party3 must be present.

```
On Condition
  /Party4 is present
Following Must be True
  /Party3 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00130
- *Error Text:* Party3 must be present.

- **Party5PresenceRule**

(Rule)

If Party5 is present, then Party4 must be present.

```
On Condition
  /Party5 is present
Following Must be True
  /Party4 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00131
- *Error Text:* Party4 must be present.

- **SettlementChainGuideline**

(Rule)

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on www.smpg.info.

76.1.43.1.1 Depository <Dpstry>

Presence: [0..1]

Definition: First party in the settlement chain. In a plain vanilla settlement, it is the Central Securities Depository where the counterparty requests to receive the financial instrument or from where the counterparty delivers the financial instruments. This party may be a transfer agent.

Depository <Dpstry> contains the following elements (see [PartyIdentification141](#) on page 2613 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			2614
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2614
Or	NameAndAddress <NmAndAdr>	[1..1]	±		2615
Or}	Country <Ctry>	[1..1]	CodeSet	C11	2615
	LEI <LEI>	[0..1]	IdentifierSet		2615
	AlternateIdentification <AltrId>	[0..1]	±		2615
	ProcessingDate <PrcgDt>	[0..1]	±		2616
	ProcessingIdentification <PrcgId>	[0..1]	Text		2616
	AdditionalInformation <AddtlInf>	[0..1]	±	C3	2616

76.1.43.1.2 Party1 <Pty1>

Presence: [0..1]

Definition: Party that, in a settlement chain, interacts with the depository.

Party1 <Pty1> contains the following elements (see [PartyIdentificationAndAccount194](#) on page 2505 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2505
	LEI <LEI>	[0..1]	IdentifierSet		2506
	AlternateIdentification <AltrId>	[0..1]	±		2506
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		2506
	ProcessingDate <PrcgDt>	[0..1]	±		2506
	ProcessingIdentification <PrcgId>	[0..1]	Text		2506
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	2507

76.1.43.1.3 Party2 <Pty2>

Presence: [0..1]

Definition: Party that, in a settlement chain, interacts with the party 1.

Party2 <Pty2> contains the following elements (see [PartyIdentificationAndAccount194](#) on page 2505 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2505
	LEI <LEI>	[0..1]	IdentifierSet		2506
	AlternateIdentification <AltrnId>	[0..1]	±		2506
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		2506
	ProcessingDate <PrcgDt>	[0..1]	±		2506
	ProcessingIdentification <PrcgId>	[0..1]	Text		2506
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	2507

76.1.43.1.4 Party3 <Pty3>

Presence: [0..1]

Definition: Party that, in a settlement chain, interacts with the party 2.

Party3 <Pty3> contains the following elements (see [PartyIdentificationAndAccount194](#) on page 2505 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2505
	LEI <LEI>	[0..1]	IdentifierSet		2506
	AlternateIdentification <AltrnId>	[0..1]	±		2506
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		2506
	ProcessingDate <PrcgDt>	[0..1]	±		2506
	ProcessingIdentification <PrcgId>	[0..1]	Text		2506
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	2507

76.1.43.1.5 Party4 <Pty4>

Presence: [0..1]

Definition: Party that, in a settlement chain, interacts with the party 3.

Party4 <Pty4> contains the following elements (see [PartyIdentificationAndAccount194](#) on page 2505 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2505
	LEI <LEI>	[0..1]	IdentifierSet		2506
	AlternateIdentification <AltrnId>	[0..1]	±		2506
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		2506
	ProcessingDate <PrcgDt>	[0..1]	±		2506
	ProcessingIdentification <PrcgId>	[0..1]	Text		2506
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	2507

76.1.43.1.6 Party5 <Pty5>

Presence: [0..1]

Definition: Party that, in a settlement chain, interacts with the party 4.

Party5 <Pty5> contains the following elements (see [PartyIdentificationAndAccount194](#) on page 2505 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2505
	LEI <LEI>	[0..1]	IdentifierSet		2506
	AlternateIdentification <AltrnId>	[0..1]	±		2506
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		2506
	ProcessingDate <PrcgDt>	[0..1]	±		2506
	ProcessingIdentification <PrcgId>	[0..1]	Text		2506
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	2507

76.1.44 Settlement Details

76.1.44.1 FundSettlementParameters12

Definition: Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2921
	SettlementPlace <SttlmPlc>	[1..1]	±		2921
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2921
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2922
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2922
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2922
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2922
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2924
	AccountIdentification <AcctId>	[0..1]	Text		2924
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2925
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2926
	PartyIdentification <PtyId>	[1..1]	±		2926
	AccountIdentification <AcctId>	[0..1]	Text		2926
	DeliveringSideDetails <DlvrSdDtls>	[1..1]		C12, C13	2926
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2928
	AccountIdentification <AcctId>	[0..1]	Text		2928
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2929
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929
	DeliveringAgentDetails <DlvrAgtDtls>	[1..1]			2930

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2930
	AccountIdentification <AcctId>	[0..1]	Text		2930

76.1.44.1.1 SettlementDate <SttlmDt>

Presence: [0..1]

Definition: Date and time at which the securities are to be delivered or received.

Datatype: [ISODate on page 3391](#)

76.1.44.1.2 SettlementPlace <SttlmPlc>

Presence: [1..1]

Definition: Place where the settlement of the transaction will take place. In the context of investment funds, the place of settlement is the transfer agent, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

SettlementPlace <SttlmPlc> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.1.3 SafekeepingPlace <SfkpgPlc>

Presence: [0..1]

Definition: Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository or an International Central Securities Depository.

SafekeepingPlace <SfkpgPlc> contains one of the following elements (see [SafekeepingPlaceFormat8Choice on page 2903](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2904
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2904
	Identification <Id>	[0..1]	Text		2904
Or	Country <Ctry>	[1..1]	CodeSet	C11	2904
Or	TypeAndIdentification <TpAndId>	[1..1]			2905
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2905
	Identification <Id>	[1..1]	IdentifierSet	C7	2905
Or}	Proprietary <Prtry>	[1..1]	±		2906

76.1.44.1.4 SecuritiesSettlementSystemIdentification <SciesSttlmSysId>

Presence: [0..1]

Definition: Identifies the securities settlement system to be used.

Datatype: [Max35Text on page 3409](#)

76.1.44.1.5 TradeTransactionCondition <TradTxCond>

Presence: [0..*]

Definition: Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

TradeTransactionCondition <TradTxCond> contains one of the following elements (see [TradeTransactionCondition8Choice on page 3150](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3150
Or}	Proprietary <Prtry>	[1..1]	±		3150

76.1.44.1.6 SettlementTransactionCondition <SttlmTxCond>

Presence: [0..*]

Definition: Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

SettlementTransactionCondition <SttlmTxCond> contains one of the following elements (see [SettlementTransactionCondition30Choice on page 3149](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3149
Or}	Proprietary <Prtry>	[1..1]	±		3150

76.1.44.1.7 ReceivingSideDetails <RcvgSdDtls>

Presence: [0..1]

Definition: Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.

Impacted by: [C27 ReceiversCustodianRule](#) , [C28 ReceiversIntermediary1DetailsRule](#)

ReceivingSideDetails <RcvgSdDtIs> contains the following **ReceivingPartiesAndAccount16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReceiversCustodianDetails <RcvrsCtdnDtIs>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2924
	AccountIdentification <AcctId>	[0..1]	Text		2924
	ReceiversIntermediary1Details <RcvrsIntrmy1DtIs>	[0..1]			2924
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceiversIntermediary2Details <RcvrsIntrmy2DtIs>	[0..1]			2925
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925
	ReceivingAgentDetails <RcvgAgtDtIs>	[1..1]			2926
	PartyIdentification <PtyId>	[1..1]	±		2926
	AccountIdentification <AcctId>	[0..1]	Text		2926

Constraints

• **ReceiversCustodianRule**

(Rule)

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

On Condition

/ReceiversIntermediary1Details is present

Following Must be True

/ReceiversCustodianDetails Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00392

– *Error Text:* ReceiversCustodianDetails must be present.

• **ReceiversIntermediary1DetailsRule**

(Rule)

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

On Condition

/ReceiversIntermediary2Details is present

Following Must be True

/ReceiversIntermediary1Details Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00393
- *Error Text:* ReceiversIntermediary1Details must be present.

76.1.44.1.7.1 ReceiversCustodianDetails <RcvrsCtdnDtls>

Presence: [0..1]

Definition: Party that acts on behalf of the buyer of securities when the buyer does not have a direct relationship with the receiving agent.

ReceiversCustodianDetails <RcvrsCtdnDtls> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2924
	AccountIdentification <AcctId>	[0..1]	Text		2924

76.1.44.1.7.1.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.1.7.1.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text](#) on page 3409

76.1.44.1.7.2 ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>

Presence: [0..1]

Definition: Party that the receiver's custodian uses to effect the receipt of a security, when the receiver's custodian does not have a direct relationship with the receiving agent.

ReceiversIntermediary1Details <RcvrsIntrmy1Dtls> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925

76.1.44.1.7.2.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.1.7.2.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text](#) on page 3409

76.1.44.1.7.3 ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>

Presence: [0..1]

Definition: Party that interacts with the receiver's intermediary 1.

ReceiversIntermediary2Details <RcvrsIntrmy2Dtls> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2925
	AccountIdentification <AcctId>	[0..1]	Text		2925

76.1.44.1.7.3.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.1.7.3.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text](#) on page 3409

76.1.44.1.7.4 ReceivingAgentDetails <RcvgAgtDtls>

Presence: [1..1]

Definition: Party that receives securities from the delivering agent at the place of settlement, for example, central securities depository.

ReceivingAgentDetails <RcvgAgtDtls> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2926
	AccountIdentification <AcctId>	[0..1]	Text		2926

76.1.44.1.7.4.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.1.7.4.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text on page 3409](#)

76.1.44.1.8 DeliveringSideDetails <DlvrgSdDtls>

Presence: [1..1]

Definition: Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.

Impacted by: [C12 DeliverersCustodianRule](#), [C13 DeliverersIntermediary1DetailsRule](#)

DeliveringSideDetails <DlvrgSdDtls> contains the following **DeliveringPartiesAndAccount16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2928
	AccountIdentification <AcctId>	[0..1]	Text		2928
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2928
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2929
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2930
	PartyIdentification <PtyId>	[1..1]	±		2930
	AccountIdentification <AcctId>	[0..1]	Text		2930

Constraints

• **DeliverersCustodianRule**

(Rule)

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

On Condition
 /DeliverersIntermediary1Details is present
 Following Must be True
 /DeliverersCustodianDetails Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00394
- *Error Text:* DeliverersCustodianDetails must be present.

• **DeliverersIntermediary1DetailsRule**

(Rule)

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

On Condition
 /DeliverersIntermediary2Details is present
 Following Must be True
 /DeliverersIntermediary1Details Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00395
- *Error Text:* DeliverersIntermediary1Details must be present.

76.1.44.1.8.1 DeliverersCustodianDetails <DlvrrsCtdnDtIs>

Presence: [0..1]

Definition: Party that acts on behalf of the seller of securities when the seller does not have a direct relationship with the delivering agent.

DeliverersCustodianDetails <DlvrrsCtdnDtIs> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2928
	AccountIdentification <AcctId>	[0..1]	Text		2928

76.1.44.1.8.1.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.1.8.1.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text](#) on page 3409

76.1.44.1.8.2 DeliverersIntermediary1Details <DlvrrsIntrmy1DtIs>

Presence: [0..1]

Definition: Party that the deliverer's custodian uses to effect the delivery of a security, when the deliverer's custodian does not have a direct relationship with the delivering agent.

DeliverersIntermediary1Details <DlvrrsIntrmy1DtIs> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929

76.1.44.1.8.2.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.1.8.2.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text](#) on page 3409

76.1.44.1.8.3 DeliverersIntermediary2Details <DivrrsIntrmy2DtIs>

Presence: [0..1]

Definition: Party that interacts with the deliverer's intermediary 1.

DeliverersIntermediary2Details <DivrrsIntrmy2DtIs> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2929
	AccountIdentification <AcctId>	[0..1]	Text		2929

76.1.44.1.8.3.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.1.8.3.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text](#) on page 3409

76.1.44.1.8.4 DeliveringAgentDetails <DlvrgAgtDtls>

Presence: [1..1]

Definition: Party that delivers securities to the receiving agent at the place of settlement, for example, central securities depository.

DeliveringAgentDetails <DlvrgAgtDtls> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2930
	AccountIdentification <AcctId>	[0..1]	Text		2930

76.1.44.1.8.4.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.1.8.4.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text](#) on page 3409

76.1.44.2 FundSettlementParameters11

Definition: Parameters applied to the settlement of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2932
	SettlementPlace <SttlmPlc>	[1..1]	±		2932
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2932
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2933
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2933
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2933
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2933
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2935
	PartyIdentification <PtyId>	[1..1]	±		2935
	AccountIdentification <AcctId>	[0..1]	Text		2935
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2935
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2936
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2937
	PartyIdentification <PtyId>	[1..1]	±		2937
	AccountIdentification <AcctId>	[0..1]	Text		2937
	DeliveringSideDetails <DlvrSdDtls>	[0..1]		C12, C13	2937
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2939
	PartyIdentification <PtyId>	[1..1]	±		2939
	AccountIdentification <AcctId>	[0..1]	Text		2939
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2939
	PartyIdentification <PtyId>	[1..1]	±		2940
	AccountIdentification <AcctId>	[0..1]	Text		2940
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2940
	PartyIdentification <PtyId>	[1..1]	±		2940
	AccountIdentification <AcctId>	[0..1]	Text		2940
	DeliveringAgentDetails <DlvrAgtDtls>	[1..1]			2941

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2941
	AccountIdentification <AcctId>	[0..1]	Text		2941

76.1.44.2.1 SettlementDate <SttlmDt>

Presence: [0..1]

Definition: Date and time at which the securities are to be delivered or received.

Datatype: [ISODate on page 3391](#)

76.1.44.2.2 SettlementPlace <SttlmPlc>

Presence: [1..1]

Definition: Place where the settlement of the transaction will take place. In the context of investment funds, the place of settlement is the transfer agent, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

SettlementPlace <SttlmPlc> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.2.3 SafekeepingPlace <SfkpgPlc>

Presence: [0..1]

Definition: Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository or an International Central Securities Depository.

SafekeepingPlace <SfkpgPlc> contains one of the following elements (see [SafekeepingPlaceFormat8Choice on page 2903](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2904
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2904
	Identification <Id>	[0..1]	Text		2904
Or	Country <Ctry>	[1..1]	CodeSet	C11	2904
Or	TypeAndIdentification <TpAndId>	[1..1]			2905
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2905
	Identification <Id>	[1..1]	IdentifierSet	C7	2905
Or}	Proprietary <Prtry>	[1..1]	±		2906

76.1.44.2.4 SecuritiesSettlementSystemIdentification <SciesSttlmSysId>

Presence: [0..1]

Definition: Identification of a specific system or set of rules and/or processes to be applied at the settlement place.

Datatype: Max35Text on page 3409

76.1.44.2.5 TradeTransactionCondition <TradTxCond>

Presence: [0..*]

Definition: Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

TradeTransactionCondition <TradTxCond> contains one of the following elements (see TradeTransactionCondition8Choice on page 3150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3150
Or}	Proprietary <Prtry>	[1..1]	±		3150

76.1.44.2.6 SettlementTransactionCondition <SttlmTxCond>

Presence: [0..*]

Definition: Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

SettlementTransactionCondition <SttlmTxCond> contains one of the following elements (see SettlementTransactionCondition30Choice on page 3149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3149
Or}	Proprietary <Prtry>	[1..1]	±		3150

76.1.44.2.7 ReceivingSideDetails <RcvgSdDtIs>

Presence: [1..1]

Definition: Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.

Impacted by: C27 ReceiversCustodianRule , C28 ReceiversIntermediary1DetailsRule

ReceivingSideDetails <RcvgSdDtIs> contains the following **ReceivingPartiesAndAccount16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReceiversCustodianDetails <RcvrsCtdnDtIs>	[0..1]			2935
	PartyIdentification <PtyId>	[1..1]	±		2935
	AccountIdentification <AcctId>	[0..1]	Text		2935
	ReceiversIntermediary1Details <RcvrsIntrmy1DtIs>	[0..1]			2935
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936
	ReceiversIntermediary2Details <RcvrsIntrmy2DtIs>	[0..1]			2936
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936
	ReceivingAgentDetails <RcvgAgtDtIs>	[1..1]			2937
	PartyIdentification <PtyId>	[1..1]	±		2937
	AccountIdentification <AcctId>	[0..1]	Text		2937

Constraints

• **ReceiversCustodianRule**

(Rule)

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

On Condition

/ReceiversIntermediary1Details is present

Following Must be True

/ReceiversCustodianDetails Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00392

– *Error Text:* ReceiversCustodianDetails must be present.

• **ReceiversIntermediary1DetailsRule**

(Rule)

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

On Condition

/ReceiversIntermediary2Details is present

Following Must be True

/ReceiversIntermediary1Details Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00393
- *Error Text:* ReceiversIntermediary1Details must be present.

76.1.44.2.7.1 ReceiversCustodianDetails <RcvrsCtdnDtls>

Presence: [0..1]

Definition: Party that acts on behalf of the buyer of securities when the buyer does not have a direct relationship with the receiving agent.

ReceiversCustodianDetails <RcvrsCtdnDtls> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2935
	AccountIdentification <AcctId>	[0..1]	Text		2935

76.1.44.2.7.1.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.2.7.1.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text](#) on page 3409

76.1.44.2.7.2 ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>

Presence: [0..1]

Definition: Party that the receiver's custodian uses to effect the receipt of a security, when the receiver's custodian does not have a direct relationship with the receiving agent.

ReceiversIntermediary1Details <RcvrsIntrmy1Dtls> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936

76.1.44.2.7.2.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.2.7.2.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text](#) on page 3409

76.1.44.2.7.3 ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>

Presence: [0..1]

Definition: Party that interacts with the receiver's intermediary 1.

ReceiversIntermediary2Details <RcvrsIntrmy2Dtls> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2936
	AccountIdentification <AcctId>	[0..1]	Text		2936

76.1.44.2.7.3.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.2.7.3.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text](#) on page 3409

76.1.44.2.7.4 ReceivingAgentDetails <RcvgAgtDtls>

Presence: [1..1]

Definition: Party that receives securities from the delivering agent at the place of settlement, for example, central securities depository.

ReceivingAgentDetails <RcvgAgtDtls> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2937
	AccountIdentification <AcctId>	[0..1]	Text		2937

76.1.44.2.7.4.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.2.7.4.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text on page 3409](#)

76.1.44.2.8 DeliveringSideDetails <DlvrgSdDtls>

Presence: [0..1]

Definition: Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.

Impacted by: [C12 DeliverersCustodianRule](#) __, [C13 DeliverersIntermediary1DetailsRule](#) __

DeliveringSideDetails <DlvrgSdDtls> contains the following **DeliveringPartiesAndAccount16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2939
	PartyIdentification <Ptyld>	[1..1]	±		2939
	AccountIdentification <Acctld>	[0..1]	Text		2939
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2939
	PartyIdentification <Ptyld>	[1..1]	±		2940
	AccountIdentification <Acctld>	[0..1]	Text		2940
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2940
	PartyIdentification <Ptyld>	[1..1]	±		2940
	AccountIdentification <Acctld>	[0..1]	Text		2940
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2941
	PartyIdentification <Ptyld>	[1..1]	±		2941
	AccountIdentification <Acctld>	[0..1]	Text		2941

Constraints

- **DeliverersCustodianRule**

(Rule)

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

```
On Condition
  /DeliverersIntermediary1Details is present
Following Must be True
  /DeliverersCustodianDetails Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00394
- *Error Text:* DeliverersCustodianDetails must be present.

- **DeliverersIntermediary1DetailsRule**

(Rule)

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

```
On Condition
  /DeliverersIntermediary2Details is present
Following Must be True
  /DeliverersIntermediary1Details Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00395
- *Error Text:* DeliverersIntermediary1Details must be present.

76.1.44.2.8.1 DeliverersCustodianDetails <DlvrrsCtdnDtIs>

Presence: [0..1]

Definition: Party that acts on behalf of the seller of securities when the seller does not have a direct relationship with the delivering agent.

DeliverersCustodianDetails <DlvrrsCtdnDtIs> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2939
	AccountIdentification <AcctId>	[0..1]	Text		2939

76.1.44.2.8.1.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.2.8.1.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text](#) on page 3409

76.1.44.2.8.2 DeliverersIntermediary1Details <DlvrrsIntrmy1DtIs>

Presence: [0..1]

Definition: Party that the deliverer's custodian uses to effect the delivery of a security, when the deliverer's custodian does not have a direct relationship with the delivering agent.

DeliverersIntermediary1Details <DlvrrsIntrmy1DtIs> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2940
	AccountIdentification <AcctId>	[0..1]	Text		2940

76.1.44.2.8.2.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.2.8.2.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text](#) on page 3409

76.1.44.2.8.3 DeliverersIntermediary2Details <DivrrsIntrmy2DtIs>

Presence: [0..1]

Definition: Party that interacts with the deliverer's intermediary 1.

DeliverersIntermediary2Details <DivrrsIntrmy2DtIs> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2940
	AccountIdentification <AcctId>	[0..1]	Text		2940

76.1.44.2.8.3.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.2.8.3.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text](#) on page 3409

76.1.44.2.8.4 DeliveringAgentDetails <DlvrgAgtDtls>

Presence: [1..1]

Definition: Party that delivers securities to the receiving agent at the place of settlement, for example, central securities depository.

DeliveringAgentDetails <DlvrgAgtDtls> contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2941
	AccountIdentification <AcctId>	[0..1]	Text		2941

76.1.44.2.8.4.1 PartyIdentification <PtyId>

Presence: [1..1]

Definition: Party that legally owns the account.

PartyIdentification <PtyId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.44.2.8.4.2 AccountIdentification <AcctId>

Presence: [0..1]

Definition: Identification of the account owned by the party.

Datatype: [Max35Text](#) on page 3409

76.1.45 Settlement Instruction

76.1.45.1 CashSettlement3

Definition: Cash settlement parties and accounts.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAccountDetails <CshAcctDtls>	[0..*]			2942
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2943
	Identification <Id>	[1..1]	±		2944
	AccountOwner <AcctOwnr>	[0..1]	±		2944
	AccountServicer <AcctSvcr>	[0..1]	±		2944
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2945
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		2945
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2946
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2946
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2946
{Or	Code <Cd>	[1..1]	CodeSet		2947
Or}	Proprietary <Prtry>	[1..1]	±		2947
	CashAccountPurpose <CshAcctPurp>	[0..1]			2948
{Or	Code <Cd>	[1..1]	CodeSet		2948
Or}	Proprietary <Prtry>	[1..1]	±		2948
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2949
{Or	Code <Cd>	[1..1]	CodeSet		2949
Or}	Proprietary <Prtry>	[1..1]	±		2949
	DividendPercentage <DvddPctg>	[0..1]	Rate		2949
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2949

76.1.45.1.1 CashAccountDetails <CshAcctDtls>

Presence: [0..*]

Definition: Account to credit or debit. When this is an account to debit, this is for the payment of a subscription to an investment fund, a savings plan payment, the purchase of securities or the payment of charges. When this is an account to credit, this is for the payment of an amount as a result of a redemption of investment fund units, the sale of securities, interest and dividend payments. A single account may be specified for all cash movements on the account or cash accounts may be specified for specific types of transactions on the account.

CashAccountDetails <CshAcctDtls> contains the following **CashAccount204** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2943
	Identification <Id>	[1..1]	±		2944
	AccountOwner <AcctOwnr>	[0..1]	±		2944
	AccountServicer <AcctSvcr>	[0..1]	±		2944
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2945
	AccountOwnerOtherIdentification <AcctOwnrOthrlid>	[0..*]	±		2945
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2946
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2946
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2946
{Or	Code <Cd>	[1..1]	CodeSet		2947
Or}	Proprietary <Prtry>	[1..1]	±		2947
	CashAccountPurpose <CshAcctPurp>	[0..1]			2948
{Or	Code <Cd>	[1..1]	CodeSet		2948
Or}	Proprietary <Prtry>	[1..1]	±		2948
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2949
{Or	Code <Cd>	[1..1]	CodeSet		2949
Or}	Proprietary <Prtry>	[1..1]	±		2949
	DividendPercentage <DvddPctg>	[0..1]	Rate		2949

76.1.45.1.1.1 SettlementCurrency <SttlmCcy>

Presence: [1..1]

Definition: Currency associated with the payment instrument.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.45.1.1.2 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Identification <Id> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.45.1.1.3 AccountOwner <AcctOwnr>

Presence: [0..1]

Definition: Party that legally owns the account.

AccountOwner <AcctOwnr> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.45.1.1.4 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

AccountServicer <AcctSvcr> contains one of the following elements (see [FinancialInstitutionIdentification11Choice](#) on page 1845 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1845
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1845
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1846
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1847
	Identification <Id>	[1..1]	Text		1847

76.1.45.1.1.5 AccountServicerBranch <AcctSvcrBrnch>

Presence: [0..1]

Definition: Information identifying a specific branch of a financial institution.

Usage: this component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

AccountServicerBranch <AcctSvcrBrnch> contains the following elements (see [BranchData4](#) on page 1844 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1844
	Name <Nm>	[0..1]	Text		1844
	PostalAddress <PstlAdr>	[0..1]	±		1844

76.1.45.1.1.6 AccountOwnerOtherIdentification <AcctOwnrOthrid>

Presence: [0..*]

Definition: Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CFP) account as required for Singapore.

AccountOwnerOtherIdentification <AcctOwnrOthrId> contains the following elements (see [GenericIdentification82 on page 2007](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2008
	Type <Tp>	[1..1]			2008
{Or	Code <Cd>	[1..1]	CodeSet		2008
Or}	Proprietary <Prtry>	[1..1]	±		2009
	Issuer <Issr>	[0..1]	Text		2009
	IssueDate <IssDt>	[0..1]	Date		2010
	ExpiryDate <XpryDt>	[0..1]	Date		2010
	State <Stat>	[0..1]	Text		2010
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2010

76.1.45.1.1.7 InvestmentAccountType <InvstmtAcctTp>

Presence: [0..1]

Definition: Type of account.

InvestmentAccountType <InvstmtAcctTp> contains one of the following elements (see [AccountType2Choice on page 1591](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1591
Or}	Proprietary <Prtry>	[1..1]	±		1591

76.1.45.1.1.8 CreditDebit <CdtDbt>

Presence: [0..1]

Definition: Specifies if the account is for credits or debits.

Datatype: [CreditDebit3Code on page 3267](#)

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

76.1.45.1.1.9 SettlementInstructionReason <SttlmInstrRsn>

Presence: [0..1]

Definition: Type of transaction for which the cash account is specified.

SettlementInstructionReason <SttlInstrRsn> contains one of the following **SettlementInstructionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2947
Or}	Proprietary <Prtry>	[1..1]	±		2947

76.1.45.1.1.9.1 Code <Cd>

Presence: [1..1]

Definition: Settlement instruction reason expressed as a code.

Datatype: [SettlementInstructionReason1Code](#) on page 3355

CodeName	Name	Definition
CSHI	AllCredits	Settlement of all credit amounts.
ALLL	AllCreditsAndDebits	Settlement of all credit and debit amounts.
CSHO	AllDebits	Settlement of all debit amounts.
CHAR	Charges	Settlement of charges.
DIVI	Dividend	Settlement of dividends.
INTE	Interest	Settlement of interest.
SAVP	InvestmentSavingsPlan	Settlement of investments to a savings plan.
REDM	Redemption	Settlement of redemptions or redemption legs of a switch transaction.
SAVE	SavingsPlan	Settlement of investments to a savings plan and withdrawals from a savings plan.
BUYI	SecuritiesPurchase	Settlement of securities purchases.
SELL	SecuritiesSale	Settlement of securities sales.
SUBS	Subscription	Settlement of subscriptions or subscription legs of a switch transaction.
WTHP	WithdrawalSavingsPlan	Settlement of withdrawals from a savings plan.
CORP	CorporateAction	Settlement of corporate actions.

76.1.45.1.1.9.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Settlement instruction reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.45.1.1.10 CashAccountPurpose <CshAcctPurp>

Presence: [0..1]

Definition: Purpose of the cash account.

CashAccountPurpose <CshAcctPurp> contains one of the following **CashAccountType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2948
Or}	Proprietary <Prtry>	[1..1]	±		2948

76.1.45.1.1.10.1 Code <Cd>

Presence: [1..1]

Definition: Type of cash account expressed as a code.

Datatype: [CashAccountType5Code](#) on page 3253

CodeName	Name	Definition
LEND	Lending	Account is for the coverage of lending.
COLL	Collateral	Account is for collateral.
SETT	FinancialSettlement	Account is for financial settlements.
MARR	MarginReturn	Account is for margin returns.
SEGT	Segregated	Account is an segregated account.

76.1.45.1.1.10.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of cash account expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.45.1.1.11 CashAccountDesignation <CshAcctDsgnt>

Presence: [0..1]

Definition: Specifies whether the account is the primary or secondary account if there are two accounts for the same purpose.

CashAccountDesignation <CshAcctDsgnt> contains one of the following **AccountDesignation1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2949
Or}	Proprietary <Prtry>	[1..1]	±		2949

76.1.45.1.1.11.1 Code <Cd>

Presence: [1..1]

Definition: Account designation expressed as a code.

Datatype: [Rank1Code](#) on page 3333

CodeName	Name	Definition
PRIM	Primary	Element is the primary one.
SECO	Secondary	Element is the primary one.

76.1.45.1.1.11.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Account designation expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.45.1.1.12 DividendPercentage <DvddPctg>

Presence: [0..1]

Definition: Percentage of the dividend payment not to be reinvested, that is, to be paid in cash.

Datatype: [PercentageBoundedRate](#) on page 3406

76.1.45.1.2 OtherCashSettlementDetails <OthrCshSttlmDtls>

Presence: [0..*]

Definition: Method of payment other than a cash account.

OtherCashSettlementDetails <OthrCshSttlmDtls> contains the following elements (see PaymentInstrument17 on page 2694 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2695
	DividendPercentage <DvddPctg>	[0..1]	Rate		2696
	SubscriptionPaymentInstrument <SbcptPmtInstrm>	[0..1]			2696
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2696
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2697
Or	Cheque <Chq>	[1..1]	Indicator		2697
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2698
	RedemptionPaymentInstrument <RedPmtInstrm>	[0..1]			2698
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2698
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2698
	DividendPaymentInstrument <DvddPmtInstrm>	[0..1]			2698
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2699
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2699
	SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm>	[0..1]			2699
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2699
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2700
Or	Cheque <Chq>	[1..1]	Indicator		2700
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2701
	InterestPaymentInstrument <IntrstPmtInstrm>	[0..1]			2701
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2701
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2701

76.1.45.2 CashSettlement4

Definition: Cash settlement parties and accounts.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2951
	CashAccountDetails <CshAcctDtls>	[0..*]			2951
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2952
	Identification <Id>	[1..1]	±		2953
	AccountOwner <AcctOwnr>	[0..1]	±		2953
	AccountServicer <AcctSvcr>	[0..1]	±		2953
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2954
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		2954
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2955
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2955
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2955
{Or	Code <Cd>	[1..1]	CodeSet		2956
Or}	Proprietary <Prtry>	[1..1]	±		2956
	CashAccountPurpose <CshAcctPurp>	[0..1]			2957
{Or	Code <Cd>	[1..1]	CodeSet		2957
Or}	Proprietary <Prtry>	[1..1]	±		2957
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2958
{Or	Code <Cd>	[1..1]	CodeSet		2958
Or}	Proprietary <Prtry>	[1..1]	±		2958
	DividendPercentage <DvddPctg>	[0..1]	Rate		2958
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2958

76.1.45.2.1 ModificationScopeIndication <ModScplIndctn>

Presence: [1..1]

Definition: Specifies the type of modification to be applied.

Datatype: [DataModification2Code](#) on page 3270

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.1.45.2.2 CashAccountDetails <CshAcctDtls>

Presence: [0..*]

Definition: Account to credit or debit. When this is an account to debit, this is for the payment of a subscription to an investment fund, a savings plan payment, the purchase of securities or the payment

of charges. When this is an account to credit, this is for the payment of an amount as a result of a redemption of investment fund units, the sale of securities, interest and dividend payments. A single account may be specified for all cash movements on the account or cash accounts may be specified for specific types of transactions on the account.

CashAccountDetails <CshAcctDtls> contains the following **CashAccount204** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2952
	Identification <Id>	[1..1]	±		2953
	AccountOwner <AcctOwnr>	[0..1]	±		2953
	AccountServicer <AcctSvcr>	[0..1]	±		2953
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2954
	AccountOwnerOtherIdentification <AcctOwnrOthrlid>	[0..*]	±		2954
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2955
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2955
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2955
{Or	Code <Cd>	[1..1]	CodeSet		2956
Or}	Proprietary <Prtry>	[1..1]	±		2956
	CashAccountPurpose <CshAcctPurp>	[0..1]			2957
{Or	Code <Cd>	[1..1]	CodeSet		2957
Or}	Proprietary <Prtry>	[1..1]	±		2957
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2958
{Or	Code <Cd>	[1..1]	CodeSet		2958
Or}	Proprietary <Prtry>	[1..1]	±		2958
	DividendPercentage <DvddPctg>	[0..1]	Rate		2958

76.1.45.2.2.1 SettlementCurrency <SttlmCcy>

Presence: [1..1]

Definition: Currency associated with the payment instrument.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.45.2.2.2 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Identification <Id> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.45.2.2.3 AccountOwner <AcctOwnr>

Presence: [0..1]

Definition: Party that legally owns the account.

AccountOwner <AcctOwnr> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.45.2.2.4 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

AccountServicer <AcctSvcr> contains one of the following elements (see [FinancialInstitutionIdentification11Choice](#) on page 1845 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1845
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1845
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1846
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1847
	Identification <Id>	[1..1]	Text		1847

76.1.45.2.2.5 AccountServicerBranch <AcctSvcrBrnch>

Presence: [0..1]

Definition: Information identifying a specific branch of a financial institution.

Usage: this component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

AccountServicerBranch <AcctSvcrBrnch> contains the following elements (see [BranchData4](#) on page 1844 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1844
	Name <Nm>	[0..1]	Text		1844
	PostalAddress <PstlAdr>	[0..1]	±		1844

76.1.45.2.2.6 AccountOwnerOtherIdentification <AcctOwnrOthrid>

Presence: [0..*]

Definition: Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CFP) account as required for Singapore.

AccountOwnerOtherIdentification <AcctOwnrOthrId> contains the following elements (see [GenericIdentification82 on page 2007](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2008
	Type <Tp>	[1..1]			2008
{Or	Code <Cd>	[1..1]	CodeSet		2008
Or}	Proprietary <Prtry>	[1..1]	±		2009
	Issuer <Issr>	[0..1]	Text		2009
	IssueDate <IssDt>	[0..1]	Date		2010
	ExpiryDate <XpryDt>	[0..1]	Date		2010
	State <Stat>	[0..1]	Text		2010
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2010

76.1.45.2.2.7 InvestmentAccountType <InvstmtAcctTp>

Presence: [0..1]

Definition: Type of account.

InvestmentAccountType <InvstmtAcctTp> contains one of the following elements (see [AccountType2Choice on page 1591](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1591
Or}	Proprietary <Prtry>	[1..1]	±		1591

76.1.45.2.2.8 CreditDebit <CdtDbt>

Presence: [0..1]

Definition: Specifies if the account is for credits or debits.

Datatype: [CreditDebit3Code on page 3267](#)

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

76.1.45.2.2.9 SettlementInstructionReason <SttlmInstrRsn>

Presence: [0..1]

Definition: Type of transaction for which the cash account is specified.

SettlementInstructionReason <SttlInstrRsn> contains one of the following **SettlementInstructionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2956
Or}	Proprietary <Prtry>	[1..1]	±		2956

76.1.45.2.2.9.1 Code <Cd>

Presence: [1..1]

Definition: Settlement instruction reason expressed as a code.

Datatype: [SettlementInstructionReason1Code](#) on page 3355

CodeName	Name	Definition
CSHI	AllCredits	Settlement of all credit amounts.
ALLL	AllCreditsAndDebits	Settlement of all credit and debit amounts.
CSHO	AllDebits	Settlement of all debit amounts.
CHAR	Charges	Settlement of charges.
DIVI	Dividend	Settlement of dividends.
INTE	Interest	Settlement of interest.
SAVP	InvestmentSavingsPlan	Settlement of investments to a savings plan.
REDM	Redemption	Settlement of redemptions or redemption legs of a switch transaction.
SAVE	SavingsPlan	Settlement of investments to a savings plan and withdrawals from a savings plan.
BUYI	SecuritiesPurchase	Settlement of securities purchases.
SELL	SecuritiesSale	Settlement of securities sales.
SUBS	Subscription	Settlement of subscriptions or subscription legs of a switch transaction.
WTHP	WithdrawalSavingsPlan	Settlement of withdrawals from a savings plan.
CORP	CorporateAction	Settlement of corporate actions.

76.1.45.2.2.9.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Settlement instruction reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemaName <SchmeNm>	[0..1]	Text		2015

76.1.45.2.2.10 CashAccountPurpose <CshAcctPurp>

Presence: [0..1]

Definition: Purpose of the cash account.

CashAccountPurpose <CshAcctPurp> contains one of the following **CashAccountType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2957
Or}	Proprietary <Prtry>	[1..1]	±		2957

76.1.45.2.2.10.1 Code <Cd>

Presence: [1..1]

Definition: Type of cash account expressed as a code.

Datatype: [CashAccountType5Code](#) on page 3253

CodeName	Name	Definition
LEND	Lending	Account is for the coverage of lending.
COLL	Collateral	Account is for collateral.
SETT	FinancialSettlement	Account is for financial settlements.
MARR	MarginReturn	Account is for margin returns.
SEGT	Segregated	Account is an segregated account.

76.1.45.2.2.10.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of cash account expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemaName <SchmeNm>	[0..1]	Text		2015

76.1.45.2.2.11 CashAccountDesignation <CshAcctDsgnt>

Presence: [0..1]

Definition: Specifies whether the account is the primary or secondary account if there are two accounts for the same purpose.

CashAccountDesignation <CshAcctDsgnt> contains one of the following **AccountDesignation1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2958
Or}	Proprietary <Prtry>	[1..1]	±		2958

76.1.45.2.2.11.1 Code <Cd>

Presence: [1..1]

Definition: Account designation expressed as a code.

Datatype: [Rank1Code](#) on page 3333

CodeName	Name	Definition
PRIM	Primary	Element is the primary one.
SECO	Secondary	Element is the primary one.

76.1.45.2.2.11.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Account designation expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.45.2.2.12 DividendPercentage <DvddPctg>

Presence: [0..1]

Definition: Percentage of the dividend payment not to be reinvested, that is, to be paid in cash.

Datatype: [PercentageBoundedRate](#) on page 3406

76.1.45.2.3 OtherCashSettlementDetails <OthrCshSttlmDtls>

Presence: [0..*]

Definition: Method of payment other than a cash account.

OtherCashSettlementDetails <OthrCshSttlmDtls> contains the following elements (see PaymentInstrument17 on page 2694 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2695
	DividendPercentage <DvddPctg>	[0..1]	Rate		2696
	SubscriptionPaymentInstrument <SbcptPmtInstrm>	[0..1]			2696
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2696
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2697
Or	Cheque <Chq>	[1..1]	Indicator		2697
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2698
	RedemptionPaymentInstrument <RedPmtInstrm>	[0..1]			2698
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2698
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2698
	DividendPaymentInstrument <DvddPmtInstrm>	[0..1]			2698
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2699
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2699
	SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm>	[0..1]			2699
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2699
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2700
Or	Cheque <Chq>	[1..1]	Indicator		2700
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2701
	InterestPaymentInstrument <IntrstPmtInstrm>	[0..1]			2701
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2701
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2701

76.1.46 Statement Basis

76.1.46.1 StatementBasisCodeAndDSSCodeChoice

Definition: Choice between formats for the statement basis.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmtBsisAsCd>	[1..1]	CodeSet		2960
Or}	StatementBasisAsDSS <StmtBsisAsDSS>	[1..1]	±		2960

76.1.46.1.1 StatementBasisAsCode <StmntBsisAsCd>

Presence: [1..1]

Definition: Statement basis expressed as a code.

Datatype: [StatementBasis1Code](#) on page 3357

CodeName	Name	Definition
CONT	Contractual	The statement is based on contractual settlement date irrespective of settled data positions.
SETT	Settled	The statement is based on settled date positions to the knowledge of the sender at the time of the statement preparation.
TRAD	Traded	The statement is based on trade date positions.

76.1.46.1.2 StatementBasisAsDSS <StmntBsisAsDSS>

Presence: [1..1]

Definition: Statement basis expressed as a data source scheme and a code used within the data source scheme.

StatementBasisAsDSS <StmntBsisAsDSS> contains the following elements (see [GenericIdentification7](#) on page 2017 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		2018
	Information <Inf>	[1..1]	Text		2018

76.1.47 Statement Update Type

76.1.47.1 StatementUpdateTypeCodeAndDSSCodeChoice

Definition: Choice between formats for the update type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmntUpdTpAsCd>	[1..1]	CodeSet		2960
Or}	StatementUpdateTypeAsDSS <StmntUpdTpAsDSS>	[1..1]	±		2961

76.1.47.1.1 StatementUpdateTypeAsCode <StmntUpdTpAsCd>

Presence: [1..1]

Definition: Update type expressed as a code.

Datatype: [StatementUpdateTypeCode](#) on page 3358

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

76.1.47.1.2 StatementUpdateTypeAsDSS <StmntUpdTpAsDSS>

Presence: [1..1]

Definition: Update type expressed as a data source scheme and a code used within the data source scheme.

StatementUpdateTypeAsDSS <StmntUpdTpAsDSS> contains the following elements (see [GenericIdentification7](#) on page 2017 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		2018
	Information <Inf>	[1..1]	Text		2018

76.1.48 Status

76.1.48.1 CancelledStatusReason1Choice

Definition: Cancelled status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	CodeSet		2961
Or	Proprietary <Prtry>	[1..1]	±		2961
Or}	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		2962

76.1.48.1.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the cancelled status.

Datatype: [CancelledStatusReason2Code](#) on page 3253

CodeName	Name	Definition
CANH	CancelledByHub	Transaction is cancelled by the hub.
CANP	CancelledByInstructingParty	Transaction is cancelled by the instructing party.
CXLR	EndOfLife	Transaction is rejected by the executing party, the rejection is final therefore the order is cancelled in the system.
CANO	CancelledByOther	Transaction is cancelled by a party other than the instructing party, eg, a market infrastructure such as a stock exchange.

76.1.48.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the cancelled status.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13 on page 2020](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.48.1.3 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Indicates that there is no reason available or to report.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.2 DrawdownStatus1Choice

Definition: Choice of formats for a drawdown status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2962
Or}	Proprietary <Prtry>	[1..1]	±		2962

76.1.48.2.1 Code <Cd>

Presence: [1..1]

Definition: Status expressed as a code.

Datatype: [DrawdownStatus1Code on page 3272](#)

CodeName	Name	Definition
FULL	Full	Pension is fully in drawdown.
NONE	None	Pension is not in drawdown.
PART	Partial	Pension is in partial drawdown.

76.1.48.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.48.3 TransferCancellationStatus3

Definition: Transfer cancellation status is accepted or sent to next party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	CodeSet		2963
	Reason <Rsn>	[0..1]	Text		2963

76.1.48.3.1 Status <Sts>

Presence: [1..1]

Definition: Status of the transfer cancellation is accepted or sent to next party.

Datatype: [CancellationStatus5Code](#) on page 3252

CodeName	Name	Definition
RECE	Received	Cancellation instruction/request has been received, that is, technical validation of the message is ok, and the message is now at the receiving side.
PACK	Accepted	Cancellation instruction / request has been received and has been acknowledged / accepted for further processing.
STNP	SentToNextParty	Cancellation instruction/request has been sent to the next party, that is, the next intermediary.

76.1.48.3.2 Reason <Rsn>

Presence: [0..1]

Definition: Reason for the status.

Datatype: [Max350Text](#) on page 3409

76.1.48.4 TransferUnmatchedStatus4Choice

Definition: Reason for the unmatched status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2964
Or	Reason <Rsn>	[1..1]	CodeSet		2964
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		2965
Or}	DataSourceScheme <DataSrcSchme>	[1..1]	±		2965

76.1.48.4.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Indicates that there is no reason available or to report.

Datatype: [NoReasonCode](#) on page 3316

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.4.2 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the unmatched status.

Datatype: [TransferUnmatchedReason3Code](#) on page 3381

CodeName	Name	Definition
CMIS	NoMatch	No potential match has been found.
CPCA	CounterpartyCancelled	Counterparty has cancelled the transaction/instruction.
DELN	TransactionDirection	Direction of transaction does not match: delivery instead of receipt or vice versa.
DSEC	FinancialInstrument	Financial instrument identification does not match or a financial instrument attribute differs.
PHYS	PhysicalSettlement	Settlement does not match: counterparty's instruction is for physical settlement, your instruction is not, or vice versa.
PODU	Duplicate	Instruction has not been matched: it is a possible duplicate instruction.
DEPT	SettlementPlace	Place of settlement does not match.
DDAT	SettlementDate	Settlement date or transfer date does not match.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity does not match.
ICUS	ReceivingOrDeliveringCustodian	Delivering or receiving custodian does not match.

CodeName	Name	Definition
SAFE	SafekeepingAccount	Safekeeping account used as a matching criteria on the market concerned does not match.

76.1.48.4.3 ExtendedReason <XtndedRsn>

Presence: [1..1]

Definition: Reason for the unmatched status.

Datatype: [Extended350Code on page 3407](#)

76.1.48.4.4 DataSourceScheme <DataSrcSchme>

Presence: [1..1]

Definition: Proprietary identification of the reason for the unmatched status.

DataSourceScheme <DataSrcSchme> contains the following elements (see [GenericIdentification1 on page 2021](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.48.5 TransferInstructionStatus5

Definition: Instruction status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	CodeSet		2965
	Reason <Rsn>	[0..1]	Text		2966

76.1.48.5.1 Status <Sts>

Presence: [1..1]

Definition: Status code.

Datatype: [TransferStatus6Code on page 3380](#)

CodeName	Name	Definition
PACK	Accepted	Transfer or settlement instruction has been acknowledged / accepted for further processing.
COSE	AlreadyExecuted	Transfer or settlement instruction is fully executed and the confirmation is sent.
COMP	Complete	Portfolio transfer is complete.
DELY	Delayed	Transfer or settlement instruction is delayed.

CodeName	Name	Definition
MACH	Matched	Transfer or settlement instruction is matched.
RECE	Received	Instruction has been received, that is, technical validation of the message is ok, and the message is now at the receiving side.
STNP	SentToNextParty	Transfer or settlement instruction has been sent to the next party, that is, the next intermediary.
SETT	Settled	Transfer or settlement instruction is settled.

76.1.48.5.2 Reason <Rsn>

Presence: [0..1]

Definition: Reason for the status.

Datatype: [Max350Text on page 3409](#)

76.1.48.6 OtherAccountStatus1

Definition: Status of an account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	±		2966
	Reason <Rsn>	[0..1]	±		2966

76.1.48.6.1 Status <Sts>

Presence: [1..1]

Definition: Status of the account.

Status <Sts> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.48.6.2 Reason <Rsn>

Presence: [0..1]

Definition: Reason for the status of the account.

Reason <Rsn> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.48.7 ClosurePendingStatusReason1Choice

Definition: Choice of formats for a closure pending status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2967
Or}	Reason <Rsn>	[1..*]			2967
	Code <Cd>	[1..1]			2968
{Or	Code <Cd>	[1..1]	CodeSet		2968
Or}	Proprietary <Prtry>	[1..1]	±		2968
	AdditionalInformation <AddtlInf>	[0..1]	Text		2968

76.1.48.7.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: There is no reason available or to report for the closure pending status.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.7.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the closure pending status.

Reason <Rsn> contains the following **ClosurePendingStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2968
{Or	Code <Cd>	[1..1]	CodeSet		2968
Or}	Proprietary <Prtry>	[1..1]	±		2968
	AdditionalInformation <AddtlInf>	[0..1]	Text		2968

76.1.48.7.2.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the closure pending status.

Code <Cd> contains one of the following **ClosurePendingStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2968
Or}	Proprietary <Prtry>	[1..1]	±		2968

76.1.48.7.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the closure pending status expressed as a code.

Datatype: [ClosurePendingStatusReason1Code](#) on page 3259

CodeName	Name	Definition
CLOS	AccountClosingInProgress	Account closing is in process.
PEND	PendingConditions	Account will be closed when conditions are met.

76.1.48.7.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the closure pending status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.48.7.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the reason for the closure pending status.

Datatype: [Max350Text](#) on page 3409

76.1.48.8 ClosedStatusReason1Choice

Definition: Choice of formats for a closed status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2969
Or}	Reason <Rsn>	[1..*]			2969
	Code <Cd>	[1..1]			2969
{Or	Code <Cd>	[1..1]	CodeSet		2969
Or}	Proprietary <Prtry>	[1..1]	±		2970
	AdditionalInformation <AddtlInf>	[0..1]	Text		2970

76.1.48.8.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: There is no reason available or to report for the closed account status.

Datatype: NoReasonCode on page 3316

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.8.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the closed account status.

Reason <Rsn> contains the following **ClosedStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2969
{Or	Code <Cd>	[1..1]	CodeSet		2969
Or}	Proprietary <Prtry>	[1..1]	±		2970
	AdditionalInformation <AddtlInf>	[0..1]	Text		2970

76.1.48.8.2.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the closed account status.

Code <Cd> contains one of the following **ClosedStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2969
Or}	Proprietary <Prtry>	[1..1]	±		2970

76.1.48.8.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the closed account status expressed as a code.

Datatype: [ClosedStatusReason1Code on page 3258](#)

CodeName	Name	Definition
ASIN	AccountServicerInstruction	Account is closed, following an instruction from the account servicer to close the account.
CLIN	ClientInstruction	Account is closed, following an instruction from the client, or an authorised party, to close the account.

76.1.48.8.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the closed account status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.48.8.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the reason for the closed account status.

Datatype: [Max350Text on page 3409](#)

76.1.48.9 ProformaStatusReason1Choice

Definition: Choice of formats for a proforma status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2970
Or}	Reason <Rsn>	[1..*]			2971
	Code <Cd>	[1..1]			2971
{Or	Code <Cd>	[1..1]	CodeSet		2971
Or}	Proprietary <Prtry>	[1..1]	±		2971
	AdditionalInformation <AddtlInf>	[0..1]	Text		2972

76.1.48.9.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: There is no reason available or to report for the proforma account status.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.9.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the proforma account status.

Reason <Rsn> contains the following **ProformaStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2971
{Or	Code <Cd>	[1..1]	CodeSet		2971
Or}	Proprietary <Prtry>	[1..1]	±		2971
	AdditionalInformation <AddtlInf>	[0..1]	Text		2972

76.1.48.9.2.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the proforma account status.

Code <Cd> contains one of the following **ProformaStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2971
Or}	Proprietary <Prtry>	[1..1]	±		2971

76.1.48.9.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the enabled account status expressed as a code.

Datatype: [ProformaStatusReason1Code on page 3332](#)

CodeName	Name	Definition
MODI	ModificationInProgress	Modification to the account data is in process.
RIGH	Rights	Account opening is waiting for rights holder information.

76.1.48.9.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the enabled account status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.48.9.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the reason for the proforma account status.

Datatype: [Max350Text on page 3409](#)

76.1.48.10 PendingOpeningStatusReason1Choice

Definition: Choice of formats for a pending account opening status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2972
Or}	Reason <Rsn>	[1..*]			2972
	Code <Cd>	[1..1]			2973
{Or	Code <Cd>	[1..1]	CodeSet		2973
Or}	Proprietary <Prtry>	[1..1]	±		2973
	AdditionalInformation <AddtlInf>	[0..1]	Text		2974

76.1.48.10.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: There is no reason available or to report for the pending account opening status.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.10.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the pending account opening status.

Reason <Rsn> contains the following **PendingOpeningStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2973
{Or	Code <Cd>	[1..1]	CodeSet		2973
Or}	Proprietary <Prtry>	[1..1]	±		2973
	AdditionalInformation <AddtlInf>	[0..1]	Text		2974

76.1.48.10.2.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the pending account opening status.

Code <Cd> contains one of the following **PendingOpeningStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2973
Or}	Proprietary <Prtry>	[1..1]	±		2973

76.1.48.10.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the pending account opening status expressed as a code.

Datatype: [PendingOpeningStatusReason1Code on page 3322](#)

CodeName	Name	Definition
ATHR	Authorisation	Authorisation is required.
ATHP	AuthorisedButPending	Authorisation is provided but account opening is still pending.
FRDM	FATCAReportingDateMissing	FATCA reporting date is missing.
KYCM	KnowYourCustomerDocumentMissing	Know Your Customer (KYC) document is missing.
NOTO	NotOpened	Account is not yet open, even for partial use.
REST	Restrictions	Account will be opened when restrictions are addressed.
RIGH	RightsHolderMissing	Rights holder information is missing.

76.1.48.10.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the pending account opening status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.48.10.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the reason for the pending account opening status.

Datatype: [Max350Text on page 3409](#)

76.1.48.11 DisabledStatusReason1Choice

Definition: Choice of formats for a disabled status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		2974
Or}	Reason <Rsn>	[1..*]			2974
	Code <Cd>	[1..1]			2975
{Or	Code <Cd>	[1..1]	CodeSet		2975
Or}	Proprietary <Prtry>	[1..1]	±		2975
	AdditionalInformation <AddtlInf>	[0..1]	Text		2976

76.1.48.11.1 NoSpecifiedReason <NoSpofdRsn>

Presence: [1..1]

Definition: There is no reason available or to report for the disabled account status.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.11.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the disabled account status.

Reason <Rsn> contains the following **DisabledStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2975
{Or	Code <Cd>	[1..1]	CodeSet		2975
Or}	Proprietary <Prtry>	[1..1]	±		2975
	AdditionalInformation <AddtlInf>	[0..1]	Text		2976

76.1.48.11.2.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the disabled account status.

Code <Cd> contains one of the following **DisabledStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2975
Or}	Proprietary <Prtry>	[1..1]	±		2975

76.1.48.11.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the disabled account status expressed as a code.

Datatype: [DisabledReason2Code](#) on page 3271

CodeName	Name	Definition
CLOS	AccountClosingInProgress	Account closing is in process.
BKRP	Bankruptcy	Bankruptcy.
CMMT	Commitment	Commitment.
CNFS	Confiscation	Confiscation.
MORT	MortisCausa	Reserved in contemplation of death.
PCOM	PendingComplianceVerification	Pending compliance verification.
PLDG	Pledged	Pledged.
TRPE	Reregistration	Reregistration.
SANC	Sanctions	Sanctions are in place.
TRAN	Transfer	Transfer.
REJT	Rejected	Account was pending opening but is now rejected.

76.1.48.11.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the disabled account status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.48.11.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the reason for the disabled account status.

Datatype: [Max350Text on page 3409](#)

76.1.48.12 EnabledStatusReason1Choice

Definition: Choice of formats for an enabled status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		2976
Or}	Reason <Rsn>	[1..*]			2976
	Code <Cd>	[1..1]			2977
{Or	Code <Cd>	[1..1]	CodeSet		2977
Or}	Proprietary <Prtry>	[1..1]	±		2977
	AdditionalInformation <AddtlInf>	[0..1]	Text		2977

76.1.48.12.1 NoSpecifiedReason <NoSpofdRsn>

Presence: [1..1]

Definition: There is no reason available or to report for the enabled account status.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.12.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the enabled account status.

Reason <Rsn> contains the following **EnabledStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2977
{Or	Code <Cd>	[1..1]	CodeSet		2977
Or}	Proprietary <Prtry>	[1..1]	±		2977
	AdditionalInformation <AddtlInf>	[0..1]	Text		2977

76.1.48.12.2.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the enabled account status.

Code <Cd> contains one of the following **EnabledStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2977
Or}	Proprietary <Prtry>	[1..1]	±		2977

76.1.48.12.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the enabled account status expressed as a code.

Datatype: [EnabledStatusReason1Code on page 3272](#)

CodeName	Name	Definition
MODI	Modified	Modification to the account data is in process.

76.1.48.12.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the enabled account status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.48.12.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the reason for the enabled account status.

Datatype: [Max350Text on page 3409](#)

76.1.48.13 PendingStatusReason14

Definition: Reason for a pending status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]	±		2978
	AdditionalInformation <AddtlInf>	[0..1]	Text		2978

76.1.48.13.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the pending account status.

Code <Cd> contains one of the following elements (see [PendingStatusReason2Choice](#) on page 2978 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2978
Or}	Proprietary <Prtry>	[1..1]	±		2979

76.1.48.13.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the reason for the pending account status.

Datatype: [Max350Text](#) on page 3409

76.1.48.14 PendingStatusReason2Choice

Definition: Choice of formats for pending reason code.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2978
Or}	Proprietary <Prtry>	[1..1]	±		2979

76.1.48.14.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the pending account status expressed as a code.

Datatype: [PendingStatusReason1Code](#) on page 3324

CodeName	Name	Definition
KYCM	KnowYourCustomerDocumentMissing	Know Your Customer (KYC) document is missing.
FRDM	FATCAReportingDateMissing	FATCA reporting date is missing.
RIGH	RightsHolderMissing	Rights holder information is missing.
ATHR	Authorisation	Authorisation is required.

CodeName	Name	Definition
ATHP	AuthorisedButPending	Authorisation is provided but the account change is still pending.
MODI	ModificationInProgress	Modification to the account data is in process.

76.1.48.14.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the pending account status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.48.15 PendingStatusReason1Choice

Definition: Choice of formats for a pending status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2979
Or}	Reason <Rsn>	[1..*]	±		2979

76.1.48.15.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: There is no reason available or to report for the pending account status.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.15.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the pending account status.

Reason <Rsn> contains the following elements (see [PendingStatusReason14](#) on page 2978 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]	±		2978
	AdditionalInformation <AddtlInf>	[0..1]	Text		2978

76.1.48.16 OrderStatusAndReason10

Definition: Status report of a bulk or multiple or switch order that was previously received.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2980
	OrderStatus <OrdrSts>	[1..1]			2980
{Or	Status <Sts>	[1..1]	CodeSet		2981
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2981
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2982
Or	Rejected <Rjctd>	[1..10]	±	C18	2983
Or	Suspended <Sspd>	[1..1]	±		2983
Or}	PartiallySettled <PrtySttld>	[1..1]	±		2984
	StatusInitiator <StsInitr>	[0..1]	±		2984

76.1.48.16.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text](#) on page 3409

76.1.48.16.2 OrderStatus <OrdrSts>

Presence: [1..1]

Definition: Status of a 'bulk' of orders. Can be used if all the individual orders conveyed in a bulk or multiple order message have the same status.

OrderStatus <OrdrSts> contains one of the following **OrderStatus3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2981
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2981
Or	ConditionallyAccepted <CondlyAcctpd>	[1..1]	±		2982
Or	Rejected <Rjctd>	[1..10]	±	C18	2983
Or	Suspended <Sspd>	[1..1]	±		2983
Or}	PartiallySettled <PrtySttld>	[1..1]	±		2984

76.1.48.16.2.1 Status <Sts>

Presence: [1..1]

Definition: Status of all the orders in the order message. There is no reason attached.

Datatype: [OrderStatus4Code on page 3318](#)

CodeName	Name	Definition
PACK	Accepted	Order is accepted and is ready for execution (execution is the moment when pricing is applied).
COSE	AlreadyExecuted	Order is already executed and confirmation has been sent.
STNP	SentToNextParty	Order has been sent to the next party, eg, the next intermediary.
RECE	Received	Order has been received, ie, technical validation of the message is ok, and the message is now at the receiving side.
SETT	Settled	Order is settled. The cash is credited or debited.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
CNFC	ConfirmationAmendment	Order confirmation cancellation has been sent and will be followed by a confirmation amendment, or a confirmation amendment has been sent.
DONE	DoneForDay	Order has been partially filled, and is done for the day, ie, no further executions will take place today.
DONF	PartiallyDone	Order has been partially filled and will not be filled further.
OPOD	Open	Order is open.
IACO	InvalidAgentConfirmation	Order confirmation received from agent is invalid.

76.1.48.16.2.2 Cancelled <Canc>

Presence: [1..1]

Definition: Status of all the orders in the order message is cancelled. This status is used for orders that have been accepted or that have been entered in an order book but that can not be executed.

Impacted by: C3 AdditionalInformationRule, C5 CancelledElementRule

Cancelled <Canc> contains the following elements (see CancelledStatusReason16 on page 3045 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			3046
{Or	Code <Cd>	[1..1]	CodeSet		3046
Or	Proprietary <Prtry>	[1..1]	±		3047
Or}	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		3047
	AdditionalInformation <AddtlInf>	[0..1]	Text		3047

Constraints

- **AdditionalInformationRule**

(Rule)

The AdditionalInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

- **CancelledElementRule**

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.16.2.3 ConditionallyAccepted <CondlyAcptd>

Presence: [1..1]

Definition: Status of all the orders in the order message is conditionally accepted.

ConditionallyAccepted <CondlyAcptd> contains one of the following elements (see [ConditionallyAcceptedStatus3Choice on page 3043](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		3044
Or}	ReasonDetails <RsnDtls>	[1..5]			3044
	Reason <Rsn>	[1..1]			3044
{Or	Code <Cd>	[1..1]	CodeSet		3044
Or}	Proprietary <Prtry>	[1..1]	±		3045
	AdditionalInformation <AddtlInf>	[0..1]	Text		3045

76.1.48.16.2.4 Rejected <Rjctd>

Presence: [1..10]

Definition: Status of all the orders in the order message is rejected. This status is used for orders that have not been accepted or entered in an order book.

Impacted by: [C18 RejectedElementRule](#)

Rejected <Rjctd> contains the following elements (see [RejectedStatus9 on page 3040](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			3040
{Or	Code <Cd>	[1..1]	CodeSet		3040
Or}	Proprietary <Prtry>	[1..1]	±		3043
	AdditionalInformation <AddtlInf>	[0..1]	Text		3043

Constraints

- **RejectedElementRule**

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.16.2.5 Suspended <Sspd>

Presence: [1..1]

Definition: Status of all the orders in the order message is suspended.

Suspended <Sspd> contains one of the following elements (see [SuspendedStatusReason4Choice](#) on page 3038 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		3038
Or}	ReasonDetails <RsnDtls>	[1..5]			3038
	Reason <Rsn>	[1..1]			3039
{Or	Code <Cd>	[1..1]	CodeSet		3039
Or}	Proprietary <Prtry>	[1..1]	±		3039
	AdditionalInformation <AddtlInf>	[0..1]	Text		3039

76.1.48.16.2.6 PartiallySettled <PrtlySttld>

Presence: [1..1]

Definition: Status of all the orders in the order message is partially settled.

PartiallySettled <PrtlySttld> contains the following elements (see [PartiallySettledStatus10](#) on page 3035 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			3035
{Or	Code <Cd>	[1..1]	CodeSet		3035
Or}	Proprietary <Prtry>	[1..1]	±		3036
	AdditionalInformation <AddtlInf>	[0..1]	Text		3036

76.1.48.16.3 StatusInitiator <StsInitr>

Presence: [0..1]

Definition: Party that initiates the status of the order.

StatusInitiator <StsInitr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.48.17 ReportItemStatus1

Definition: Status information of the report item.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Exception <Xcptn>	[1..1]	±		2985
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2985
	ReportItem <RptItm>	[0..*]			2985
	AccountIdentification <AcctId>	[1..1]	±		2986
	AccountLevel <AcctLvl>	[1..1]	CodeSet		2986
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C3, C4, C5, C6, C7	2987
	ItemDate <ItmDt>	[0..1]	Date		2988

76.1.48.17.1 Exception <Xcptn>

Presence: [1..1]

Definition: Reason for the exception status.

Exception <Xcptn> contains one of the following elements (see [ReportItemRejectionReason1Choice](#) on page 2388 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2388
Or}	Proprietary <Prtry>	[1..1]	±		2392

76.1.48.17.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Additional information about the reason for the status that cannot be provided in a structured field.

Datatype: [Max210Text](#) on page 3408

76.1.48.17.3 ReportItem <RptItm>

Presence: [0..*]

Definition: Details of the report item.

ReportItem <RptItm> contains the following **ReportItem1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		2986
	AccountLevel <AcctLvl>	[1..1]	CodeSet		2986
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C3, C4, C5, C6, C7	2987
	ItemDate <ItmDt>	[0..1]	Date		2988

76.1.48.17.3.1 AccountIdentification <AcctId>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

AccountIdentification <AcctId> contains the following elements (see [SecuritiesAccount19](#) on page 1587 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	Name <Nm>	[0..1]	Text		1587

76.1.48.17.3.2 AccountLevel <AcctLvl>

Presence: [1..1]

Definition: Level of the safekeeping account or sub-account of the report item.

Datatype: [HoldingAccountLevel1Code](#) on page 3289

CodeName	Name	Definition
SAFE	SafekeepingAccount	Holding account is defined as the safekeeping account (Level 0).
LVL1	Level1	Holding account is defined as the sub-level 1 account.
LVL2	Level2	Holding account is defined as the sub-level 2 account.
LVL3	Level3	Holding account is defined as the sub-level 3 account.
LVL4	Level4	Holding account is defined as the sub-level 4 account.
LVL5	Level5	Holding account is defined as the sub-level 5 account.
LVL6	Level6	Holding account is defined as the sub-level 6 account.

CodeName	Name	Definition
LVL7	Level7	Holding account is defined as the sub-level 7 account.
LVL8	Level8	Holding account is defined as the sub-level 8 account.
LVL9	Level9	Holding account is defined as the sub-level 9 account.

76.1.48.17.3.3 FinancialInstrumentIdentification <FinInstrmId>

Presence: [0..1]

Definition: Financial instrument identification of the report item.

Impacted by: C3 DescriptionPresenceRule, C4 DescriptionUsageRule, C5 ISINGuideline, C6 ISINPresenceRule, C7 OtherIdentificationPresenceRule

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see [SecurityIdentification19](#) on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		1899
	OtherIdentification <OthrlId>	[0..*]			1899
	Identification <Id>	[1..1]	Text		1899
	Suffix <Sfx>	[0..1]	Text		1900
	Type <Tp>	[1..1]	±		1900
	Description <Desc>	[0..1]	Text		1900

Constraints

- **DescriptionPresenceRule**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00192
- *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

(Rule)

When an ISIN code exists, it is strongly recommended that the ISIN be used.

- **ISINPresenceRule**

(Rule)

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
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00194
- *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

(Rule)

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
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00193
- *Error Text:* At least one identification must be present.

76.1.48.17.3.4 ItemDate <ltmDt>

Presence: [0..1]

Definition: Date of the report item.

Datatype: ISODate on page 3391

76.1.48.18 CancellationStatus22Choice

Definition: Status is cancelled.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2989
Or}	Rejected <Rjctd>	[1..1]	±	C8	2989

76.1.48.18.1 Status <Sts>

Presence: [1..1]

Definition: Status of the order cancellation request is cancelled.

Datatype: [OrderCancellationStatus2Code](#) on page 3317

CodeName	Name	Definition
STNP	SentToNextParty	Order cancellation request has been sent to the next party, eg, the next intermediary.
RECE	Received	Status of the order cancellation request is received, that is, technical validation of the message is ok, and the message is now at the receiving side.
CANP	CancellationPending	Order cancellation request is pending, The order cancellation request has been received but this does not indicate the order has been cancelled.
CAND	CancellationCompleted	Status of the order cancellation request is completed. The cancellation request has been accepted and processed; the order has been cancelled.

76.1.48.18.2 Rejected <Rjctd>

Presence: [1..1]

Definition: Status of the order cancellation request is rejected.

Impacted by: [C8 ReasonElementRule](#)

Rejected <Rjctd> contains the following elements (see [RejectedStatus10](#) on page 3033 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			3034
{Or	Code <Cd>	[1..1]	CodeSet		3034
Or}	Proprietary <Prtry>	[1..1]	±		3035
	AdditionalInformation <AddtlInf>	[0..1]	Text		3035

Constraints

- **ReasonElementRule**

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*

– Error Text:

76.1.48.19 Status26Choice

Definition: Choice of status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CancellationStatusReport <CxIStsRpt>	[1..1]			2990
	MasterReference <MstrRef>	[0..1]	Text		2990
	CancellationStatus <CxISts>	[1..1]	±		2990
	StatusInitiator <StsInitr>	[0..1]	±		2991
Or}	IndividualCancellationStatusReport <IndvCxIStsRpt>	[1..*]			2991
	MasterReference <MstrRef>	[0..1]	Text		2991
	OrderReference <OrdRef>	[1..1]	Text		2992
	ClientReference <CIntRef>	[0..1]	Text		2992
	CancellationReference <CxIRef>	[0..1]	Text		2992
	CancellationStatus <CxISts>	[1..1]	±		2992
	StatusInitiator <StsInitr>	[0..1]	±		2992
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	2992
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	2993

76.1.48.19.1 CancellationStatusReport <CxIStsRpt>

Presence: [1..1]

Definition: Status report details of a bulk or multiple or switch order cancellation message.

CancellationStatusReport <CxIStsRpt> contains the following **OrderStatusAndReason9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2990
	CancellationStatus <CxISts>	[1..1]	±		2990
	StatusInitiator <StsInitr>	[0..1]	±		2991

76.1.48.19.1.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: Max35Text on page 3409

76.1.48.19.1.2 CancellationStatus <CxISts>

Presence: [1..1]

Definition: Cancellation status of the order cancellation.

CancellationStatus <CxISts> contains one of the following elements (see [CancellationStatus22Choice](#) on page 2988 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2989
Or}	Rejected <Rjctd>	[1..1]	±	C8	2989

76.1.48.19.1.3 StatusInitiator <StsInitr>

Presence: [0..1]

Definition: Party that initiates the status of the order cancellation.

StatusInitiator <StsInitr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.48.19.2 IndividualCancellationStatusReport <IndvCxIStsRpt>

Presence: [1..*]

Definition: Status report details of one or more individual orders from a bulk or multiple or switch order cancellation request.

IndividualCancellationStatusReport <IndvCxIStsRpt> contains the following **IndividualOrderStatusAndReason8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2991
	OrderReference <OrdRef>	[1..1]	Text		2992
	ClientReference <ClntRef>	[0..1]	Text		2992
	CancellationReference <CxIRef>	[0..1]	Text		2992
	CancellationStatus <CxISts>	[1..1]	±		2992
	StatusInitiator <StsInitr>	[0..1]	±		2992
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	2992
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	2993

76.1.48.19.2.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: [Max35Text](#) on page 3409

76.1.48.19.2.2 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

76.1.48.19.2.3 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

76.1.48.19.2.4 CancellationReference <CxlRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

76.1.48.19.2.5 CancellationStatus <CxISts>

Presence: [1..1]

Definition: Cancellation status of the order cancellation.

CancellationStatus <CxISts> contains one of the following elements (see [CancellationStatus22Choice on page 2988](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2989
Or}	Rejected <Rjctd>	[1..1]	±	C8	2989

76.1.48.19.2.6 StatusInitiator <StsInitr>

Presence: [0..1]

Definition: Party that initiates the status of the individual order cancellation.

StatusInitiator <StsInitr> contains the following elements (see [PartyIdentification113 on page 2625](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.48.19.2.7 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account information of the individual order cancellation for which the status is given.

Impacted by: [C20 OrderOriginatorEligibility2Rule](#)

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see InvestmentAccount58 on page 2149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

76.1.48.19.2.8 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..1]

Definition: Financial instrument information of the individual order cancellation for which the status is given.

Impacted by: C17 IdentificationGuideline

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see FinancialInstrument57 on page 1894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.48.20 Status25Choice

Definition: Choice of formats for the specification of the status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2994
Or}	Rejected <Rjctd>	[1..10]	±		2994

76.1.48.20.1 Status <Sts>

Presence: [1..1]

Definition: Status code.

Datatype: [AccountManagementStatus1Code on page 3242](#)

CodeName	Name	Definition
RECE	Received	The account management instruction has been received and is acknowledged.
ACCP	Accepted	The account management instruction has been validated and accepted.
EXEC	ProcessingOngoing	The account management instruction is being processed and the confirmation will follow.
STNP	SentToNextParty	The account management instruction has been sent to the next party, for example, the next intermediary.

76.1.48.20.2 Rejected <Rjctd>

Presence: [1..10]

Definition: Status of the account management instruction is rejected.

Rejected <Rjctd> contains the following elements (see [RejectionReason31 on page 3023](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			3024
{Or	Code <Cd>	[1..1]	CodeSet		3024
Or}	Proprietary <Prtry>	[1..1]	±		3024
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		3024

76.1.48.21 Status24Choice

Definition: Choice of status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrderDetailsReport <OrdrDtlsRpt>	[1..1]	±		2997
Or	IndividualOrderDetailsReport <IndvOrdrDtlsRpt>	[1..*]			2998
	MasterReference <MstrRef>	[0..1]	Text		2998
	OrderReference <OrdrRef>	[1..1]	Text		2998
	ClientReference <ClntRef>	[0..1]	Text		2999
	DealReference <DealRef>	[0..1]	Text		2999
	CancellationReference <CxIRef>	[0..1]	Text		2999
	OrderStatus <OrdrSts>	[1..1]			2999
{Or	Status <Sts>	[1..1]	CodeSet		2999
Or	Cancelled <Canc>	[1..1]	±	C3, C5	3000
Or	ConditionallyAccepted <CondlyAcptd>	[1..1]	±		3001
Or	Rejected <Rjctd>	[1..10]	±	C18	3001
Or	Suspended <Sspd>	[1..1]	±		3002
Or	InRepair <InRpr>	[1..1]	±		3002
Or}	PartiallySettled <PrtyStltd>	[1..1]	±		3003
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	3003
	StatusInitiator <StsIntr>	[0..1]	±		3004
	OrderData <OrdrData>	[0..1]	±	C15	3004
	NewDetails <NewDtls>	[0..1]	±	C10	3005
	GatingOrHoldBackDetails <GtgOrHldBckDtls>	[0..1]	±		3006
Or}	SwitchOrderDetailsReport <SwchOrdrDtlsRpt>	[1..*]			3006
	MasterReference <MstrRef>	[0..1]	Text		3007
	OrderReference <OrdrRef>	[1..1]	Text		3007
	ClientReference <ClntRef>	[0..1]	Text		3008
	DealReference <DealRef>	[0..1]	Text		3008
	CancellationReference <CxIRef>	[0..1]	Text		3008
	OrderStatus <OrdrSts>	[1..1]			3008
{Or	Status <Sts>	[1..1]	CodeSet		3008
Or	Cancelled <Canc>	[1..1]	±	C3, C5	3009
Or	ConditionallyAccepted <CondlyAcptd>	[1..1]	±		3010
Or	Rejected <Rjctd>	[1..10]	±	C18	3010

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	Suspended <Sspd>	[1..1]	±		3011
Or	InRepair <InRpr>	[1..1]	±		3011
Or}	PartiallySettled <PrtySttld>	[1..1]	±		3012
	LegInformation <LegInf>	[0..*]			3012
	LegIdentification <LegId>	[1..1]			3013
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		3013
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		3013
	LegRejectionReason <LegRjctnRsn>	[0..1]	Text		3013
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	3013
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	3015
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	3015
	StatusInitiator <StsInitr>	[0..1]	±		3016
	OrderData <OrdrData>	[0..1]	±	C20	3016
	NewDetails <NewDtls>	[0..1]	±		3017

76.1.48.21.1 OrderDetailsReport <OrdrDtlsRpt>

Presence: [1..1]

Definition: Status report details of all the individual orders conveyed in a bulk or multiple order message. Can be used if all the individual orders conveyed in a bulk or multiple order message have the same status.

OrderDetailsReport <OrdrDtlsRpt> contains the following elements (see [OrderStatusAndReason10](#) on page 2980 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2980
	OrderStatus <OrdrSts>	[1..1]			2980
{Or	Status <Sts>	[1..1]	CodeSet		2981
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2981
Or	ConditionallyAccepted <CondlyAcctpd>	[1..1]	±		2982
Or	Rejected <Rjctd>	[1..10]	±	C18	2983
Or	Suspended <Sspd>	[1..1]	±		2983
Or}	PartiallySettled <PrtySttld>	[1..1]	±		2984
	StatusInitiator <StsInitr>	[0..1]	±		2984

76.1.48.21.2 IndividualOrderDetailsReport <IndvOrdrDtIsRpt>

Presence: [1..*]

Definition: Status report details of an individual order.

IndividualOrderDetailsReport <IndvOrdrDtIsRpt> contains the following **IndividualOrderStatusAndReason7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2998
	OrderReference <OrdrRef>	[1..1]	Text		2998
	ClientReference <ClntRef>	[0..1]	Text		2999
	DealReference <DealRef>	[0..1]	Text		2999
	CancellationReference <CxIRef>	[0..1]	Text		2999
	OrderStatus <OrdrSts>	[1..1]			2999
{Or	Status <Sts>	[1..1]	CodeSet		2999
Or	Cancelled <Canc>	[1..1]	±	C3, C5	3000
Or	ConditionallyAccepted <CondlyAcptd>	[1..1]	±		3001
Or	Rejected <Rjctd>	[1..10]	±	C18	3001
Or	Suspended <Sspd>	[1..1]	±		3002
Or	InRepair <InRpr>	[1..1]	±		3002
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		3003
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	3003
	StatusInitiator <StsInitr>	[0..1]	±		3004
	OrderData <OrdrData>	[0..1]	±	C15	3004
	NewDetails <NewDtIs>	[0..1]	±	C10	3005
	GatingOrHoldBackDetails <GtgOrHldBckDtIs>	[0..1]	±		3006

76.1.48.21.2.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: Max35Text on page 3409

76.1.48.21.2.2 OrderReference <OrdrRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: Max35Text on page 3409

76.1.48.21.2.3 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

76.1.48.21.2.4 DealReference <DealRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

Datatype: [Max35Text on page 3409](#)

76.1.48.21.2.5 CancellationReference <CxIRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

76.1.48.21.2.6 OrderStatus <OrdrSts>

Presence: [1..1]

Definition: Status of the individual order.

OrderStatus <OrdrSts> contains one of the following **OrderStatus5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2999
Or	Cancelled <Canc>	[1..1]	±	C3, C5	3000
Or	ConditionallyAccepted <CondlyAcctpd>	[1..1]	±		3001
Or	Rejected <Rjctd>	[1..10]	±	C18	3001
Or	Suspended <Sspd>	[1..1]	±		3002
Or	InRepair <InRpr>	[1..1]	±		3002
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		3003

76.1.48.21.2.6.1 Status <Sts>

Presence: [1..1]

Definition: Status of the individual order is accepted or already executed or sent to next party or received. There is no reason attached.

Datatype: [OrderStatus4Code on page 3318](#)

CodeName	Name	Definition
PACK	Accepted	Order is accepted and is ready for execution (execution is the moment when pricing is applied).

CodeName	Name	Definition
COSE	AlreadyExecuted	Order is already executed and confirmation has been sent.
STNP	SentToNextParty	Order has been sent to the next party, eg, the next intermediary.
RECE	Received	Order has been received, ie, technical validation of the message is ok, and the message is now at the receiving side.
SETT	Settled	Order is settled. The cash is credited or debited.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
CNFC	ConfirmationAmendment	Order confirmation cancellation has been sent and will be followed by a confirmation amendment, or a confirmation amendment has been sent.
DONE	DoneForDay	Order has been partially filled, and is done for the day, ie, no further executions will take place today.
DONF	PartiallyDone	Order has been partially filled and will not be filled further.
OPOD	Open	Order is open.
IACO	InvalidAgentConfirmation	Order confirmation received from agent is invalid.

76.1.48.21.2.6.2 Cancelled <Canc>

Presence: [1..1]

Definition: Status of the individual order is cancelled. This status is used for an order that has been accepted or that has been entered in an order book but that can not be executed.

Impacted by: [C3 AdditionalInformationRule](#), [C5 CancelledElementRule](#)

Cancelled <Canc> contains the following elements (see [CancelledStatusReason16](#) on page 3045 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			3046
{Or	Code <Cd>	[1..1]	CodeSet		3046
Or	Proprietary <Prtry>	[1..1]	±		3047
Or}	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		3047
	AdditionalInformation <AddtlInf>	[0..1]	Text		3047

Constraints

- **AdditionalInformationRule**
(Rule)

The AdditionalInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

• **CancelledElementRule**

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.21.2.6.3 ConditionallyAccepted <CondlyAcptd>

Presence: [1..1]

Definition: Status of the individual order is conditionally accepted.

ConditionallyAccepted <CondlyAcptd> contains one of the following elements (see [ConditionallyAcceptedStatus3Choice](#) on page 3043 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3044
Or}	ReasonDetails <RsnDtls>	[1..5]			3044
	Reason <Rsn>	[1..1]			3044
{Or	Code <Cd>	[1..1]	CodeSet		3044
Or}	Proprietary <Prtry>	[1..1]	±		3045
	AdditionalInformation <AddtlInf>	[0..1]	Text		3045

76.1.48.21.2.6.4 Rejected <Rjctd>

Presence: [1..10]

Definition: Status of the individual order is rejected. This status is used for an order that has not been accepted or entered in an order book.

Impacted by: [C18 RejectedElementRule](#)

Rejected <Rjctd> contains the following elements (see [RejectedStatus9](#) on page 3040 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			3040
{Or	Code <Cd>	[1..1]	CodeSet		3040
Or}	Proprietary <Prtry>	[1..1]	±		3043
	AdditionalInformation <AddtlInf>	[0..1]	Text		3043

Constraints

• **RejectedElementRule**

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.21.2.6.5 Suspended <Sspd>

Presence: [1..1]

Definition: Status of the individual order is suspended.

Suspended <Sspd> contains one of the following elements (see [SuspendedStatusReason4Choice](#) on page 3038 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		3038
Or}	ReasonDetails <RsnDtls>	[1..5]			3038
	Reason <Rsn>	[1..1]			3039
{Or	Code <Cd>	[1..1]	CodeSet		3039
Or}	Proprietary <Prtry>	[1..1]	±		3039
	AdditionalInformation <AddtlInf>	[0..1]	Text		3039

76.1.48.21.2.6.6 InRepair <InRpr>

Presence: [1..1]

Definition: Status of the individual order is in repair.

InRepair <InRpr> contains one of the following elements (see [InRepairStatusReason4Choice](#) on page 3036 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		3036
Or}	ReasonDetails <RsnDtls>	[1..5]			3037
	Reason <Rsn>	[1..1]			3037
{Or	Code <Cd>	[1..1]	CodeSet		3037
Or}	Proprietary <Prtry>	[1..1]	±		3037
	AdditionalInformation <AddtlInf>	[0..1]	Text		3038

76.1.48.21.2.6.7 PartiallySettled <PrtySttld>

Presence: [1..1]

Definition: Status of the individual order is partially settled.

PartiallySettled <PrtySttld> contains the following elements (see [PartiallySettledStatus10](#) on page 3035 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			3035
{Or	Code <Cd>	[1..1]	CodeSet		3035
Or}	Proprietary <Prtry>	[1..1]	±		3036
	AdditionalInformation <AddtlInf>	[0..1]	Text		3036

76.1.48.21.2.7 RepairedFee <RprdFee>

Presence: [0..10]

Definition: Elements from the original individual order that have been repaired so that the order can be accepted.

Impacted by: [C6 CommercialAgreementRule](#) , [C12 FeeElementRule](#)

RepairedFee <RprdFee> contains the following elements (see [Fee3](#) on page 1769 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1770
{Or	Code <Cd>	[1..1]	CodeSet		1770
Or}	Proprietary <Prtry>	[1..1]	±		1771
	RepairedStandardAmount <RprdStdAmt>	[0..1]	Amount	C2, C10	1772
	RepairedStandardRate <RprdStdRate>	[0..1]	Rate		1772
	RepairedDiscountAmount <RprdDscntAmt>	[0..1]	Amount	C2, C10	1773
	RepairedDiscountRate <RprdDscntRate>	[0..1]	Rate		1773
	RepairedRequestedAmount <RprdReqdAmt>	[0..1]	Amount	C2, C10	1773
	RepairedRequestedRate <RprdReqdRate>	[0..1]	Rate		1774
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1774
	NewCommercialAgreementReferenceIndicator <NewComrcAgrmtRefInd>	[0..1]	Indicator		1775

Constraints

- **CommercialAgreementRule**
(Rule)

If CommercialAgreementReference is present, then NewCommercialAgreementReferenceIndicator must be present too.

On Condition

/CommercialAgreementReference is present

Following Must be True

/NewCommercialAgreementReferenceIndicator Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00399
- *Error Text:* NewCommercialAgreementReferenceIndicator must be present.

• **FeeElementRule**

(Rule)

One of the elements (Type, RepairedStandardAmount, RepairedStandardRate, RepairedDiscountAmount, RepairedDiscountRate, RepairedRequestedAmount, RepairedRequestedRate, CommercialAgreementReference, NewCommercialAgreementReferenceIndicator) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.21.2.8 StatusInitiator <StsInitr>

Presence: [0..1]

Definition: Party that initiates the status of the order.

StatusInitiator <StsInitr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.48.21.2.9 OrderData <OrdrData>

Presence: [0..1]

Definition: Order data.

Impacted by: [C15 OrderDataElementRule](#)

OrderData <OrdrData> contains the following elements (see [FundOrderData5](#) on page 2323 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	2323
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	2324
	UnitsNumber <UnitsNb>	[0..1]	Quantity		2325
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	2325
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C12	2326
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		2327
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2327
	UnitCurrency <UnitCcy>	[0..1]	CodeSet	C2	2328
	QuotedCurrency <QtdCcy>	[0..1]	CodeSet	C2	2328

Constraints

- **OrderDataElementRule**

(Rule)

One of the elements (InvestmentAccountDetails, FinancialInstrumentDetails, UnitsNumber, NetAmount, GrossAmount, HoldingsRedemptionRate, SettlementAmount, UnitCurrency, QuotedCurrency) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.21.2.10 NewDetails <NewDtls>

Presence: [0..1]

Definition: Expected execution information.

Impacted by: [C10 DateElementRule](#)

NewDetails <NewDtls> contains the following elements (see [ExpectedExecutionDetails4](#) on page 2322 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExpectedTradeDateTime <XpctdTradDtTm>	[0..1]	±		2322
	ExpectedCashSettlementDate <XpctdCshSttlmDt>	[0..1]	Date		2322

Constraints

- **DateElementRule**

(Rule)

Either ExpectedTradeDateTime or ExpectedCashSettlementDate must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.21.2.11 GatingOrHoldBackDetails <GtgOrHldBckDtIs>

Presence: [0..1]

Definition: Information about gating and hold back of redemption proceeds.

GatingOrHoldBackDetails <GtgOrHldBckDtIs> contains the following elements (see [HoldBackInformation3 on page 2300](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2301
	Amount <Amt>	[0..1]	Amount	C2, C10	2301
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		2302
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		2302
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		2303
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		2303

76.1.48.21.3 SwitchOrderDetailsReport <SwtchOrdrDtIsRpt>

Presence: [1..*]

Definition: Status report details of a switch order.

SwitchOrderDetailsReport <SwchOrdRtIsRpt> contains the following
SwitchOrderStatusAndReason2 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		3007
	OrderReference <OrdRef>	[1..1]	Text		3007
	ClientReference <ClntRef>	[0..1]	Text		3008
	DealReference <DealRef>	[0..1]	Text		3008
	CancellationReference <CxIRef>	[0..1]	Text		3008
	OrderStatus <OrdRSts>	[1..1]			3008
{Or	Status <Sts>	[1..1]	CodeSet		3008
Or	Cancelled <Canc>	[1..1]	±	C3, C5	3009
Or	ConditionallyAccepted <CondlyAcptd>	[1..1]	±		3010
Or	Rejected <Rjctd>	[1..10]	±	C18	3010
Or	Suspended <Sspd>	[1..1]	±		3011
Or	InRepair <InRpr>	[1..1]	±		3011
Or}	PartiallySettled <PrtlyStltd>	[1..1]	±		3012
	LegInformation <LegInf>	[0..*]			3012
	LegIdentification <LegId>	[1..1]			3013
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		3013
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		3013
	LegRejectionReason <LegRjctnRsn>	[0..1]	Text		3013
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	3013
	InvestmentAccountDetails <InvstmtAcctDtIs>	[0..1]	±	C20	3015
	FinancialInstrumentDetails <FinInstrmDtIs>	[0..1]	±	C17	3015
	StatusInitiator <StsInitr>	[0..1]	±		3016
	OrderData <OrdRData>	[0..1]	±	C20	3016
	NewDetails <NewDtIs>	[0..1]	±		3017

76.1.48.21.3.1 MasterReference <MstrRef>

Presence: [0..1]

Definition: Reference assigned to a set of orders or trades in order to link them together.

Datatype: Max35Text on page 3409

76.1.48.21.3.2 OrderReference <OrdRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the order, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

76.1.48.21.3.3 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: [Max35Text on page 3409](#)

76.1.48.21.3.4 DealReference <DealRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

Datatype: [Max35Text on page 3409](#)

76.1.48.21.3.5 CancellationReference <CxIRef>

Presence: [0..1]

Definition: Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

76.1.48.21.3.6 OrderStatus <OrdrSts>

Presence: [1..1]

Definition: Status of the switch order.

OrderStatus <OrdrSts> contains one of the following **OrderStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		3008
Or	Cancelled <Canc>	[1..1]	±	C3, C5	3009
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		3010
Or	Rejected <Rjctd>	[1..10]	±	C18	3010
Or	Suspended <Sspd>	[1..1]	±		3011
Or	InRepair <InRpr>	[1..1]	±		3011
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		3012

76.1.48.21.3.6.1 Status <Sts>

Presence: [1..1]

Definition: Status of the switch order is accepted or already executed or sent to next party or received. There is no reason attached.

Datatype: [OrderStatus4Code on page 3318](#)

CodeName	Name	Definition
PACK	Accepted	Order is accepted and is ready for execution (execution is the moment when pricing is applied).
COSE	AlreadyExecuted	Order is already executed and confirmation has been sent.
STNP	SentToNextParty	Order has been sent to the next party, eg, the next intermediary.
RECE	Received	Order has been received, ie, technical validation of the message is ok, and the message is now at the receiving side.
SETT	Settled	Order is settled. The cash is credited or debited.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
CNFC	ConfirmationAmendment	Order confirmation cancellation has been sent and will be followed by a confirmation amendment, or a confirmation amendment has been sent.
DONE	DoneForDay	Order has been partially filled, and is done for the day, ie, no further executions will take place today.
DONF	PartiallyDone	Order has been partially filled and will not be filled further.
OPOD	Open	Order is open.
IACO	InvalidAgentConfirmation	Order confirmation received from agent is invalid.

76.1.48.21.3.6.2 Cancelled <Canc>

Presence: [1..1]

Definition: Status of the switch order is cancelled. This status is used for an order that has been accepted or that has been entered in an order book but that can not be executed.

Impacted by: [C3 AdditionalInformationRule](#), [C5 CancelledElementRule](#)

Cancelled <Canc> contains the following elements (see [CancelledStatusReason16](#) on page 3045 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			3046
{Or	Code <Cd>	[1..1]	CodeSet		3046
Or	Proprietary <Prtry>	[1..1]	±		3047
Or}	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		3047
	AdditionalInformation <AddtlInf>	[0..1]	Text		3047

Constraints

- **AdditionalInformationRule**

(Rule)

The AdditionalInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

- **CancelledElementRule**

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.21.3.6.3 ConditionallyAccepted <CondlyAccptd>

Presence: [1..1]

Definition: Status of the switch order is conditionally accepted.

ConditionallyAccepted <CondlyAccptd> contains one of the following elements (see [ConditionallyAcceptedStatus3Choice](#) on page 3043 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3044
Or}	ReasonDetails <RsnDtls>	[1..5]			3044
	Reason <Rsn>	[1..1]			3044
{Or	Code <Cd>	[1..1]	CodeSet		3044
Or}	Proprietary <Prtry>	[1..1]	±		3045
	AdditionalInformation <AddtlInf>	[0..1]	Text		3045

76.1.48.21.3.6.4 Rejected <Rjctd>

Presence: [1..10]

Definition: Status of the switch order is rejected.

Impacted by: [C18 RejectedElementRule](#)

Rejected <Rjctd> contains the following elements (see [RejectedStatus9](#) on page 3040 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			3040
{Or	Code <Cd>	[1..1]	CodeSet		3040
Or}	Proprietary <Prtry>	[1..1]	±		3043
	AdditionalInformation <AddtlInf>	[0..1]	Text		3043

Constraints

- **RejectedElementRule**

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.21.3.6.5 Suspended <Sspd>

Presence: [1..1]

Definition: Status of the switch order is suspended.

Suspended <Sspd> contains one of the following elements (see [SuspendedStatusReason4Choice](#) on page 3038 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		3038
Or}	ReasonDetails <RsnDtls>	[1..5]			3038
	Reason <Rsn>	[1..1]			3039
{Or	Code <Cd>	[1..1]	CodeSet		3039
Or}	Proprietary <Prtry>	[1..1]	±		3039
	AdditionalInformation <AddtlInf>	[0..1]	Text		3039

76.1.48.21.3.6.6 InRepair <InRpr>

Presence: [1..1]

Definition: Status of the switch order is in repair.

InRepair <InRpr> contains one of the following elements (see [InRepairStatusReason4Choice](#) on page 3036 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		3036
Or}	ReasonDetails <RsnDtls>	[1..5]			3037
	Reason <Rsn>	[1..1]			3037
{Or	Code <Cd>	[1..1]	CodeSet		3037
Or}	Proprietary <Prtry>	[1..1]	±		3037
	AdditionalInformation <AddtlInf>	[0..1]	Text		3038

76.1.48.21.3.6.7 PartiallySettled <PrtySttld>

Presence: [1..1]

Definition: Status of the switch order is partially settled.

PartiallySettled <PrtySttld> contains the following elements (see [PartiallySettledStatus10](#) on page 3035 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			3035
{Or	Code <Cd>	[1..1]	CodeSet		3035
Or}	Proprietary <Prtry>	[1..1]	±		3036
	AdditionalInformation <AddtlInf>	[0..1]	Text		3036

76.1.48.21.3.7 LegInformation <LegInf>

Presence: [0..*]

Definition: Information about a switch leg that is rejected or repaired.

LegInformation <LegInf> contains the following **SwitchLegReferences2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LegIdentification <LegId>	[1..1]			3013
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		3013
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		3013
	LegRejectionReason <LegRjctnRsn>	[0..1]	Text		3013
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	3013
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	3015
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	3015

76.1.48.21.3.7.1 LegIdentification <LegId>

Presence: [1..1]

Definition: Identification of a switch leg.

LegIdentification <LegId> contains one of the following **LegIdentification1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		3013
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		3013

76.1.48.21.3.7.1.1 RedemptionLegIdentification <RedLegId>

Presence: [1..1]

Definition: Unique technical identifier for the instance of the leg within a switch.

Datatype: Max35Text on page 3409

76.1.48.21.3.7.1.2 SubscriptionLegIdentification <SbcptLegId>

Presence: [1..1]

Definition: Unique technical identifier for the instance of the leg within a switch.

Datatype: Max35Text on page 3409

76.1.48.21.3.7.2 LegRejectionReason <LegRjctnRsn>

Presence: [0..1]

Definition: Additional information about the reason for the rejection of the leg.

Datatype: Max350Text on page 3409

76.1.48.21.3.7.3 RepairedFee <RprdFee>

Presence: [0..10]

Definition: Elements from the original individual order that have been repaired so that the order can be accepted.

Impacted by: C6 CommercialAgreementRule ____, C12 FeeElementRule

RepairedFee <RprdFee> contains the following elements (see [Fee3](#) on page 1769 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1770
{Or	Code <Cd>	[1..1]	CodeSet		1770
Or}	Proprietary <Prtry>	[1..1]	±		1771
	RepairedStandardAmount <RprdStdAmt>	[0..1]	Amount	C2, C10	1772
	RepairedStandardRate <RprdStdRate>	[0..1]	Rate		1772
	RepairedDiscountAmount <RprdDscntAmt>	[0..1]	Amount	C2, C10	1773
	RepairedDiscountRate <RprdDscntRate>	[0..1]	Rate		1773
	RepairedRequestedAmount <RprdReqdAmt>	[0..1]	Amount	C2, C10	1773
	RepairedRequestedRate <RprdReqdRate>	[0..1]	Rate		1774
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1774
	NewCommercialAgreementReferenceIndicator <NewComrcAgrmtRefInd>	[0..1]	Indicator		1775

Constraints

- **CommercialAgreementRule**

(Rule)

If CommercialAgreementReference is present, then NewCommercialAgreementReferenceIndicator must be present too.

On Condition

/CommercialAgreementReference is present

Following Must be True

/NewCommercialAgreementReferenceIndicator Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00399
- *Error Text:* NewCommercialAgreementReferenceIndicator must be present.

- **FeeElementRule**

(Rule)

One of the elements (Type, RepairedStandardAmount, RepairedStandardRate, RepairedDiscountAmount, RepairedDiscountRate, RepairedRequestedAmount, RepairedRequestedRate, CommercialAgreementReference, NewCommercialAgreementReferenceIndicator) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.21.3.7.4 InvestmentAccountDetails <InvstmtAcctDtls>

Presence: [0..1]

Definition: Account identification of the switch leg that is rejected or repaired.

Impacted by: [C20 OrderOriginatorEligibility2Rule](#)

InvestmentAccountDetails <InvstmtAcctDtls> contains the following elements (see [InvestmentAccount58](#) on page 2149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		2150
	AccountName <AcctNm>	[0..1]	Text		2150
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2150
	OwnerIdentification <OwnrId>	[0..*]	±		2150
	AccountServicer <AcctSvcr>	[0..1]	±		2150
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2151
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2151

Constraints

- **OrderOriginatorEligibility2Rule**

(Rule)

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

76.1.48.21.3.7.5 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [0..1]

Definition: Financial instrument identification of the switch leg that is rejected or repaired.

Impacted by: [C17 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument57](#) on page 1894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1894
	Name <Nm>	[0..1]	Text		1895
	ShortName <ShrtNm>	[0..1]	Text		1895
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1895
	ClassType <ClsTp>	[0..1]	Text		1896
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1896
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1896
	ProductGroup <PdctGrp>	[0..1]	Text		1896
	SeriesIdentification <SrsId>	[0..1]		C30	1896
	SeriesDate <SrsDt>	[0..1]	±		1897
	SeriesName <SrsNm>	[0..1]	Text		1897

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.48.21.3.8 StatusInitiator <StsInitr>

Presence: [0..1]

Definition: Party that initiates the status of the order.

StatusInitiator <StsInitr> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.48.21.3.9 OrderData <OrdrData>

Presence: [0..1]

Definition: Order data.

Impacted by: [C20 SwitchOrderDataElementRule](#)

OrderData <OrdrData> contains the following elements (see [FundOrderData6](#) on page 2314 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2315
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		2315
	AdditionalAmount <AddtlAmt>	[0..1]	±		2316
	UnitCurrency <UnitCcy>	[0..1]	CodeSet	C2	2316
	QuotedCurrency <QtdCcy>	[0..1]	CodeSet	C2	2316

Constraints

- **SwitchOrderDataElementRule**

(Rule)

One of the elements (SettlementAmount, SettlementMethod, AdditionalAmount, UnitCurrency, QuotedCurrency) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.21.3.10 NewDetails <NewDtIs>

Presence: [0..1]

Definition: Expected execution information.

NewDetails <NewDtIs> contains the following elements (see [ExpectedExecutionDetails2](#) on page 2317 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExpectedTradeDateTime <XpctdTradDtTm>	[0..1]	±		2317
	ExpectedCashSettlementDate <XpctdCshSttlmDt>	[0..1]	Date		2317

76.1.48.22 CancellationReason31Choice

Definition: Choice of format for the cancellation reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3017
Or}	Proprietary <Prtry>	[1..1]	±		3019

76.1.48.22.1 Code <Cd>

Presence: [1..1]

Definition: Confirmation cancellation reason expressed as a code.

Datatype: ConfirmationCancellationReason1Code on page 3263

CodeName	Name	Definition
CSHN	CashNotReceived	Confirmation is cancelled because the cash has not been received.
REPL	ConfirmationReplacement	Confirmation is cancelled because it will be replaced.
BENA	IncorrectBackEndLoadAmount	Confirmation is cancelled because the back end load amount is incorrect.
CSHW	IncorrectCashAmount	Confirmation is cancelled because the cash amount is incorrect.
DISA	IncorrectDiscountAmount	Confirmation is cancelled because the discount amount is incorrect.
DISC	IncorrectDiscountAmountCurrency	Confirmation is cancelled because the discount amount has an incorrect currency.
EXCH	IncorrectExchangeRate	Confirmation is cancelled because the exchange rate is incorrect.
FEEE	IncorrectFeeOrCommission	Confirmation is cancelled because a fee or commission amount is incorrect.
DQUA	IncorrectFinancialInstrumentQuantity	Confirmation is cancelled because the financial instrument quantity is incorrect.
FENA	IncorrectFrontEndLoadAmount	Confirmation is cancelled because the front end load amount is incorrect.
GROA	IncorrectGrossAmount	Confirmation is cancelled because the gross amount is incorrect.
GROC	IncorrectGrossAmountCurrency	Confirmation is cancelled because the gross amount has an incorrect currency.
NETA	IncorrectNetAmount	Confirmation is cancelled because the net amount is incorrect.
NETC	IncorrectNetAmountCurrency	Confirmation is cancelled because the net amount has an incorrect currency.
OPER	IncorrectOperation	Confirmation is cancelled because of an incorrect operation.
MINI	IncorrectQuantityUnitsOrCash	Confirmation is cancelled because of an incorrect minimum traded quantity or cash amount.
DMON	IncorrectSettlementAmount	Confirmation is cancelled because the settlement amount is incorrect.
NCRR	IncorrectSettlementAmountCurrency	Confirmation is cancelled because the settlement amount has an incorrect currency.
DDAT	IncorrectSettlementDate	Confirmation is cancelled because the settlement date is incorrect.
SETS	IncorrectSettlementMethod	Confirmation is cancelled because the settlement method is incorrect.

CodeName	Name	Definition
DDEA	IncorrectTradeDate	Confirmation is cancelled because the trade date is incorrect.
REFE	InvalidReference	Confirmation contains an invalid business reference.

76.1.48.22.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Confirmation cancellation reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.48.23 ConfirmationRejectedStatus2

Definition: Rejection of a confirmation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			3019
{Or	Code <Cd>	[1..1]	CodeSet		3020
Or}	Proprietary <Prtry>	[1..1]	±		3022
	AdditionalInformation <AddtlInf>	[0..1]	Text		3022

Constraints

- **ReasonElementRule**

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.23.1 Reason <Rsn>

Presence: [0..1]

Definition: Reason for the rejected status.

Reason <Rsn> contains one of the following **ConfirmationRejectedReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3020
Or}	Proprietary <Prtry>	[1..1]	±		3022

76.1.48.23.1.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the rejected status expressed as a code.

Datatype: [RejectedConfirmationStatusReason1Code](#) on page 3334

CodeName	Name	Definition
DSAF	DifferentInvestmentAccountDetails	Investment account information not the same as instructed.
DFIN	DifferentFinancialInstrumentDetails	Financial instrument information not the same as instructed.
DBEN	DifferentBeneficiaryDetails	Beneficiary details is not the same as instructed.
DPTD	DifferentPlaceOfTrade	Place of trade not the same as instructed.
DORD	DifferentOrderDateTime	Order date time not the same as instructed.
DCXR	DifferentCancellationRight	Cancellation right not the same as instructed.
DUNB	DifferentUnitsNumber	Units number information not the same as instructed.
DORT	DifferentOrderType	Order type information not the same as instructed.
DROU	DifferentRounding	Rounding information not the same as instructed.
DNAM	DifferentNetAmount	Net amount information not the same as instructed.
DGAM	DifferentGrossAmount	Gross amount information not the same as instructed.
DHRR	DifferentHoldingsRedemptionRate	Holdings redemption rate not the same as instructed.
DGRP	DifferentGroup1Or2Units	Group 1 or 2 units not the same as instructed.
DINP	DifferentIncomePreference	Income preference information not the same as instructed.
DLIR	DifferentLetterIntentReference	Letter Intent reference information not the same as instructed.
DARR	DifferentAccumulationRightReference	Accumulation right reference information not the same as instructed.
DPDI	DifferentPhysicalDeliveryIndicator	Physical delivery indicator information not the same as instructed.

CodeName	Name	Definition
DRSC	DifferentRequestedSettlementCurrency	Requested settlement currency information not the same as instructed.
DNAV	DifferentRequestedNAVCurrency	Requested NAV currency information not the same as instructed.
DFXD	DifferentForeignExchangeDetails	Foreign exchange details information not the same as instructed.
DCHD	DifferentChargeDetails	Charge details information not the same as instructed.
DXOD	DifferentCommissionDetails	Commission details information not the same as instructed.
DTAD	DifferentTaxDetails	Tax details information not the same as instructed.
DPDD	DifferentPhysicalDeliveryDetails	Physical delivery details information not the same as instructed.
DSCA	DifferentSettlementAndCustodyDetails	Settlement and custody details information not the same as instructed.
DPID	DifferentPaymentInstrumentDetails	Payment Instrument details information not the same as instructed.
DSAM	DifferentSettlementAmount	Settlement amount not the same as instructed.
DSDT	DifferentSettlementDate	Settlement date not the same as instructed.
DEXD	DifferentExtensionDetails	Extension information not the same as instructed.
DIMD	DifferentIntermediaryDetails	Intermediary information not the same as instructed.
DTRA	DifferentTotalRedemptionAmount	Total redemption amount not the same as instructed.
DTSA	DifferentTotalSubscriptionAmount	Total subscription amount not the same as instructed.
DACI	DifferentAdditionalCashIn	Additional cash in not the same as instructed.
DACO	DifferentResultingCashOut	Resulting cash out not the same as instructed.
DPSA	DifferentPercentageOfTotalSubscriptionAmount	Percentage of total subscription amount not the same as instructed.
DPRA	DifferentPercentageOfTotalRedemptionAmount	Percentage of total redemption amount not the same as instructed.
DLID	DifferentLegIdentification	Leg Identification not the same as instructed.
DORF	DifferentOrderReference	Confirmation is recognised by the Receiver because the message reference is identified, but the order reference is not the same as instructed.
ULNK	UnknownLinkagesReference	Linked reference is not known.

CodeName	Name	Definition
DREF	DuplicateDealReference	Deal reference is a duplicate of a previously received deal reference.
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
IRCU	ReceiversCustodian	Receiver's Custodian is not recognised or is invalid.
IRIN	ReceiversIntermediary	Receiver's Intermediary is not recognised or is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IDCU	DeliverersCustodian	Deliverer's Custodian is not recognised or is invalid.
IDIN	DeliverersIntermediary	Deliverer's Intermediary is not recognised or is invalid.
ICTR	InvalidCreditTransfer	Credit transfer details are incorrect.
DMON	SettlementAmount	Settlement Amount is invalid.
DDAT	SettlementDate	Settlement date or transfer date is not recognised or is invalid.
NSLA	NotCompliantWithSLA	Confirmation is not compliant with the service level agreement.
MEUT	MissingEUTaxInformation	EU tax information is missing.
MCOM	MissingCommission	Commission information is missing.
MCHA	MissingCharge	Charge information is missing.
MTAX	MissingTaxInformation	Tax information is missing.
NATA	NotAllowedtoAmend	Amendment of order confirmation not allowed.
ALAT	AmendmentTooLate	Amendment of order confirmation too late.

76.1.48.23.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the rejected status.

Proprietary <Prtry> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.48.23.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the rejected reason.

Datatype: [Max350Text](#) on page 3409

76.1.48.24 AcceptedStatusReason1Choice

Definition: Choice of formats for an accepted status reason code.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3023
Or}	Proprietary <Prtry>	[1..1]	±		3023

76.1.48.24.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the status expressed as a code.

Datatype: [AcceptedStatusReason1Code](#) on page 3241

CodeName	Name	Definition
PLAC	PlaceNotAllowed	Status of the account modification instruction is accepted but modification of the account data will not be carried out for the place.
SECT	SectorNotAllowed	Status of the account modification instruction is accepted but modification of the account data will not be carried out for the sector code.

76.1.48.24.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.48.25 RejectionReason31

Definition: Information about a rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			3024
{Or	Code <Cd>	[1..1]	CodeSet		3024
Or}	Proprietary <Prtry>	[1..1]	±		3024
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		3024

76.1.48.25.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the rejected status.

Reason <Rsn> contains one of the following **RejectedReason16Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3024
Or}	Proprietary <Prtry>	[1..1]	±		3024

76.1.48.25.1.1 Code <Cd>

Presence: [1..1]

Definition: Rejected reason expressed as a code.

Datatype: [RejectedStatusReason6Code](#) on page 3345

CodeName	Name	Definition
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.

76.1.48.25.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Rejected reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.48.25.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Additional information about the rejected status reason.

Datatype: [Max350Text on page 3409](#)

76.1.48.26 AccountStatusUpdateInstruction1

Definition: Instruction for a change to an account status and reason for the change.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateInstruction <UpdInstr>	[1..1]			3025
{Or	Code <Cd>	[1..1]	CodeSet		3025
Or}	Proprietary <Prtry>	[1..1]	±		3025
	UpdateInstructionReason <UpdInstrRsn>	[0..1]			3026
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		3026
Or}	Reason <Rsn>	[1..*]		C27	3026
	Code <Cd>	[0..1]			3027
{Or	Code <Cd>	[1..1]	CodeSet		3027
Or}	Proprietary <Prtry>	[1..1]	±		3027
	AdditionalInformation <AddtlInf>	[0..1]	Text		3028

76.1.48.26.1 UpdateInstruction <UpdInstr>

Presence: [1..1]

Definition: Type of status change instructed for the account status.

UpdateInstruction <UpdInstr> contains one of the following **AccountStatusUpdateInstruction1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3025
Or}	Proprietary <Prtry>	[1..1]	±		3025

76.1.48.26.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of change to the account status expressed as a code.

Datatype: [AccountStatusUpdateInstruction1Code on page 3245](#)

CodeName	Name	Definition
CLOS	Close	Account is to be closed.
REAC	Reactive	Account is to be reactivated, any previous instruction to close the account is rescinded.

76.1.48.26.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of change to the account status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.48.26.2 UpdateInstructionReason <UpdInstrRsn>

Presence: [0..1]

Definition: Reason for the instruction to change the account status.

UpdateInstructionReason <UpdInstrRsn> contains one of the following **AccountStatusUpdateInstructionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		3026
Or}	Reason <Rsn>	[1..*]		C27	3026
	Code <Cd>	[0..1]			3027
{Or	Code <Cd>	[1..1]	CodeSet		3027
Or}	Proprietary <Prtry>	[1..1]	±		3027
	AdditionalInformation <AddtlInf>	[0..1]	Text		3028

76.1.48.26.2.1 NoSpecifiedReason <NoSpdfdRsn>

Presence: [1..1]

Definition: There is no reason available or to report for the instruction to change the account status.

Datatype: [NoReasonCode](#) on page 3316

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.26.2.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the instruction to change the account status.

Impacted by: [C27 ReasonElementRule](#)

Reason <Rsn> contains the following **AccountStatusUpdateInstructionReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[0..1]			3027
{Or	Code <Cd>	[1..1]	CodeSet		3027
Or}	Proprietary <Prtry>	[1..1]	±		3027
	AdditionalInformation <AddtlInf>	[0..1]	Text		3028

Constraints

- **ReasonElementRule**

(Rule)

Either Code or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.26.2.2.1 Code <Cd>

Presence: [0..1]

Definition: Reason for the instruction to change the account status.

Code <Cd> contains one of the following **AccountStatusUpdateInstructionReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3027
Or}	Proprietary <Prtry>	[1..1]	±		3027

76.1.48.26.2.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Reason for the instruction to change the account status expressed as a code.

Datatype: [AccountStatusUpdateRequestReason1Code](#) on page 3246

CodeName	Name	Definition
CLOE	AccountClosureInstructionError	Previous account closure instruction was sent in error.

76.1.48.26.2.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the instruction to change the account status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.48.26.2.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the reason for the instruction to change the account status.

Datatype: [Max350Text on page 3409](#)

76.1.48.27 AccountStatus2

Definition: Status of an account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Enabled <Nblid>	[0..1]	±		3031
	Disabled <Dsblid>	[0..1]	±		3031
	Pending <Pdg>	[0..1]	±		3031
	PendingOpening <PdgOpng>	[0..1]	±		3032
	Proforma <Profrm>	[0..1]	±		3032
	Closed <Clsd>	[0..1]	±		3032
	ClosurePending <ClsrPdg>	[0..1]	±		3033
	Other <Othr>	[0..*]	±		3033

Constraints

- **ClosedStatus1Rule**

(Rule)

If Closed is present then Enabled is not allowed.

On Condition

/Closed is present

Following Must be True

/Enabled Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00404
- *Error Text:* Enabled is not allowed when Closed is present.

- **ClosedStatus2Rule**

(Rule)

If Closed is present then Disabled is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Disabled Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00406
- *Error Text:* Disabled is not allowed when Closed is present.

- **ClosedStatus3Rule**

(Rule)

If Closed is present then Pending is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Pending Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00405
- *Error Text:* Pending is not allowed when Closed is present.

- **ClosedStatus4Rule**

(Rule)

If Closed is present then PendingOpening is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /PendingOpening Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00407
- *Error Text:* PendingOpening is not allowed when Closed is present.

- **ClosedStatus5Rule**

(Rule)

If Closed is present then Proforma is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Proforma Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00408
- *Error Text:* Proforma is not allowed when Closed is present.

• **ClosedStatus6Rule**

(Rule)

If Closed is present then ClosurePending is not allowed.

```
On Condition
  /Closed is absent
Following Must be True
  /ClosurePending Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00409
- *Error Text:* ClosurePending is not allowed when Closed is present.

• **EnabledDisabledStatus1Rule**

(Rule)

If Enabled is present, then Disabled is not allowed.

```
On Condition
  /Enabled is present
Following Must be True
  /Disabled Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00402
- *Error Text:* Disabled is not allowed when Enabled is present.

• **EnabledDisabledStatus2Rule**

(Rule)

If Disabled is present, then Enabled is not allowed.

```
On Condition
  /Disabled is present
Following Must be True
  /Enabled Must be absent
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00403
- *Error Text:* Enabled is not allowed when Disabled is present.

• **StatusElementRule**

(Rule)

One of the elements (Enabled, Disabled, Pending, PendingOpening, Proforma, Closed, ClosurePending, Other) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.27.1 Enabled <Nbld>

Presence: [0..1]

Definition: Account can be used for its intended purpose.

Enabled <Nbld> contains one of the following elements (see [EnabledStatusReason1Choice](#) on page 2976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2976
Or}	Reason <Rsn>	[1..*]			2976
	Code <Cd>	[1..1]			2977
{Or	Code <Cd>	[1..1]	CodeSet		2977
Or}	Proprietary <Prtry>	[1..1]	±		2977
	AdditionalInformation <AddtlInf>	[0..1]	Text		2977

76.1.48.27.2 Disabled <Dsblid>

Presence: [0..1]

Definition: Account cannot temporarily be used for its intended purpose.

Disabled <Dsblid> contains one of the following elements (see [DisabledStatusReason1Choice](#) on page 2974 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2974
Or}	Reason <Rsn>	[1..*]			2974
	Code <Cd>	[1..1]			2975
{Or	Code <Cd>	[1..1]	CodeSet		2975
Or}	Proprietary <Prtry>	[1..1]	±		2975
	AdditionalInformation <AddtlInf>	[0..1]	Text		2976

76.1.48.27.3 Pending <Pdg>

Presence: [0..1]

Definition: Account change is pending approval.

Pending <Pdg> contains one of the following elements (see [PendingStatusReason1Choice](#) on page 2979 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2979
Or}	Reason <Rsn>	[1..*]	±		2979

76.1.48.27.4 PendingOpening <PdgOpng>

Presence: [0..1]

Definition: Account opening is pending.

PendingOpening <PdgOpng> contains one of the following elements (see [PendingOpeningStatusReason1Choice](#) on page 2972 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2972
Or}	Reason <Rsn>	[1..*]			2972
	Code <Cd>	[1..1]			2973
{Or	Code <Cd>	[1..1]	CodeSet		2973
Or}	Proprietary <Prtry>	[1..1]	±		2973
	AdditionalInformation <AddtlInf>	[0..1]	Text		2974

76.1.48.27.5 Proforma <Profrm>

Presence: [0..1]

Definition: Account is temporary and can be partially used for its intended purpose. The account will be fully available for use when the account servicer has received all relevant documents.

Proforma <Profrm> contains one of the following elements (see [ProformaStatusReason1Choice](#) on page 2970 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2970
Or}	Reason <Rsn>	[1..*]			2971
	Code <Cd>	[1..1]			2971
{Or	Code <Cd>	[1..1]	CodeSet		2971
Or}	Proprietary <Prtry>	[1..1]	±		2971
	AdditionalInformation <AddtlInf>	[0..1]	Text		2972

76.1.48.27.6 Closed <Clsd>

Presence: [0..1]

Definition: Account is closed.

Closed <Clsd> contains one of the following elements (see [ClosedStatusReason1Choice](#) on page 2968 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2969
Or}	Reason <Rsn>	[1..*]			2969
	Code <Cd>	[1..1]			2969
{Or	Code <Cd>	[1..1]	CodeSet		2969
Or}	Proprietary <Prtry>	[1..1]	±		2970
	AdditionalInformation <AddtlInf>	[0..1]	Text		2970

76.1.48.27.7 ClosurePending <ClsrPdg>

Presence: [0..1]

Definition: Account closure is pending.

ClosurePending <ClsrPdg> contains one of the following elements (see [ClosurePendingStatusReason1Choice](#) on page 2967 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2967
Or}	Reason <Rsn>	[1..*]			2967
	Code <Cd>	[1..1]			2968
{Or	Code <Cd>	[1..1]	CodeSet		2968
Or}	Proprietary <Prtry>	[1..1]	±		2968
	AdditionalInformation <AddtlInf>	[0..1]	Text		2968

76.1.48.27.8 Other <Othr>

Presence: [0..*]

Definition: Status is a bilaterally agreed status.

Other <Othr> contains the following elements (see [OtherAccountStatus1](#) on page 2966 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	±		2966
	Reason <Rsn>	[0..1]	±		2966

76.1.48.28 RejectedStatus10

Definition: Reason for a rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			3034
{Or	Code <Cd>	[1..1]	CodeSet		3034
Or}	Proprietary <Prtry>	[1..1]	±		3035
	AdditionalInformation <AddtlInf>	[0..1]	Text		3035

Constraints

- **ReasonElementRule**

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.28.1 Reason <Rsn>

Presence: [0..1]

Definition: Reason for the rejected status.

Reason <Rsn> contains one of the following **RejectedReason21Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3034
Or}	Proprietary <Prtry>	[1..1]	±		3035

76.1.48.28.1.1 Code <Cd>

Presence: [1..1]

Definition: Rejected reason expressed as a code.

Datatype: RejectedStatusReason8Code on page 3345

CodeName	Name	Definition
CUTO	CutOffTime	Instruction has been received after the cut-off time.
NALC	NotAllowedToCancel	Instructing party is not allowed to request a cancellation.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
LEGL	LegallyImpossible	Legally impossible to cancel.

76.1.48.28.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Rejected reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.48.28.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the rejected reason.

Datatype: [Max350Text](#) on page 3409

76.1.48.29 PartiallySettledStatus10

Definition: Reason for a partially settled status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			3035
{Or	Code <Cd>	[1..1]	CodeSet		3035
Or}	Proprietary <Prtry>	[1..1]	±		3036
	AdditionalInformation <AddtlInf>	[0..1]	Text		3036

76.1.48.29.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the partially settled status.

Reason <Rsn> contains one of the following **PartiallySettled21Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3035
Or}	Proprietary <Prtry>	[1..1]	±		3036

76.1.48.29.1.1 Code <Cd>

Presence: [1..1]

Definition: Partially settled reason expressed as a code.

Datatype: [SettledStatusReason2Code](#) on page 3354

CodeName	Name	Definition
CPST	CashPartiallySettled	Cash is partially settled.
GATM	GatedMultipleNAV	Redemption has been gated. Multiple redemptions and multiple prices will be required.
GAT1	GatedOneNAV	Redemption has been gated, all settlement will be done at the same price.
UCPS	UnitsCashPartiallySettled	Units and cash are both partially settled.
UPST	UnitsPartiallySettled	Units are partially settled.

76.1.48.29.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Partially settled reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.48.29.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the partially settled reason.

Datatype: [Max350Text](#) on page 3409

76.1.48.30 InRepairStatusReason4Choice

Definition: Choice of formats for the reason for an in repair status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3036
Or}	ReasonDetails <RsnDtls>	[1..5]			3037
	Reason <Rsn>	[1..1]			3037
{Or	Code <Cd>	[1..1]	CodeSet		3037
Or}	Proprietary <Prtry>	[1..1]	±		3037
	AdditionalInformation <AddtlInf>	[0..1]	Text		3038

76.1.48.30.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: No reason available or to report for the in repair status.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.30.2 ReasonDetails <RsnDtls>

Presence: [1..5]

Definition: Reason for the in repair status, expressed as a code.

ReasonDetails <RsnDtls> contains the following **InRepairStatusReason4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			3037
{Or	Code <Cd>	[1..1]	CodeSet		3037
Or}	Proprietary <Prtry>	[1..1]	±		3037
	AdditionalInformation <AddtlInf>	[0..1]	Text		3038

76.1.48.30.2.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the in repair status expressed as a code.

Reason <Rsn> contains one of the following **InRepairStatusReason5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3037
Or}	Proprietary <Prtry>	[1..1]	±		3037

76.1.48.30.2.1.1 Code <Cd>

Presence: [1..1]

Definition: In repair reason expressed as a code.

Datatype: [InRepairStatusReason1Code on page 3294](#)

CodeName	Name	Definition
COMA	CommercialAgreement	Order has been accepted and centralised before the cut off, but with different sales agreement than the one provided in the order.

76.1.48.30.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: In repair reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.48.30.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the in repair reason.

Datatype: [Max350Text](#) on page 3409

76.1.48.31 SuspendedStatusReason4Choice

Definition: Reason for a suspended status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		3038
Or}	ReasonDetails <RsnDtls>	[1..5]			3038
	Reason <Rsn>	[1..1]			3039
{Or	Code <Cd>	[1..1]	CodeSet		3039
Or}	Proprietary <Prtry>	[1..1]	±		3039
	AdditionalInformation <AddtlInf>	[0..1]	Text		3039

76.1.48.31.1 NoSpecifiedReason <NoSpofdRsn>

Presence: [1..1]

Definition: No reason available or to report for the suspended status.

Datatype: [NoReasonCode](#) on page 3316

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.31.2 ReasonDetails <RsnDtls>

Presence: [1..5]

Definition: Reason for the suspended status, expressed as a code.

ReasonDetails <RsnDtls> contains the following **SuspendedStatusReason4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			3039
{Or	Code <Cd>	[1..1]	CodeSet		3039
Or}	Proprietary <Prtry>	[1..1]	±		3039
	AdditionalInformation <AddtlInf>	[0..1]	Text		3039

76.1.48.31.2.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the conditionally accepted status expressed as a code.

Reason <Rsn> contains one of the following **SuspendedStatusReason5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3039
Or}	Proprietary <Prtry>	[1..1]	±		3039

76.1.48.31.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Suspended reason expressed as a code.

Datatype: [SuspendedStatusReason3Code on page 3358](#)

CodeName	Name	Definition
PRIC	PriceSuspension	There is a suspension of pricing. The order will stay on the books until the next pricing.
FLOW	Overflow	There is a fund overflow.

76.1.48.31.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Suspended reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification1 on page 2021](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.48.31.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the suspended reason.

Datatype: [Max350Text on page 3409](#)

76.1.48.32 RejectedStatus9

Definition: Reason for a rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			3040
{Or	Code <Cd>	[1..1]	CodeSet		3040
Or}	Proprietary <Prtry>	[1..1]	±		3043
	AdditionalInformation <AddtlInf>	[0..1]	Text		3043

Constraints

- **RejectedElementRule**

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.48.32.1 Reason <Rsn>

Presence: [0..1]

Definition: Reason for the rejected status.

Reason <Rsn> contains one of the following **RejectedReason20Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3040
Or}	Proprietary <Prtry>	[1..1]	±		3043

76.1.48.32.1.1 Code <Cd>

Presence: [1..1]

Definition: Rejected reason expressed as a code.

Datatype: [RejectedStatusReason11Code on page 3338](#)

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.

CodeName	Name	Definition
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
ADEA	AfterDeadline	Instruction was received after the Receiver's deadline.
ILLI	AssetsIlliquid	Assets are illiquid.
BMIN	BelowMinimumInitialInvestmentAmount	Amount of subscription is below the minimum initial investment amount.
BMRA	BelowMinimumRedemptionAmount	Amount is below the minimum redemption amount.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
CUTO	CutOffTime	Instruction has been received after the cut-off time.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IDDB	DirectDebit	Direct debit account identification is not recognised or is invalid.
ORRF	DuplicateOrderReference	Order reference is a duplicate of a previously received order.
FEEE	FeeOrCommission	Unrecognised or invalid fee or commission.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
CLOS	FundClosed	Fund is closed and will not take in any more investments.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INSU	InsufficientCapacity	Insufficient capacity.
INTE	Intermediary	Intermediary is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
ICTR	InvalidCreditTransfer	Credit transfer details are incorrect.
IOTP	InvalidOrderType	Order type is invalid.
DFOR	InvalidSecurityForm	Form of the security is wrong, eg, the form of security is registered not bearer or vice versa.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.

CodeName	Name	Definition
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
LOCK	LockUp	Lock-up period is in place.
NRGM	NoCancellationMatch	The cancellation request has been rejected since more than one instruction match to the cancellation criteria.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
MONY	NotEnoughCash	There is not enough cash in the account to process the instruction.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
IPAY	PaymentCard	Payment card details are incorrect.
PRCT	PercentageHoldingBreach	Percentage holding breach, for example, PPM rules; taxation rules (ERISA).
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
PHYS	PhysicalSettlement	Physical Settlement Impossible.
PLCE	PlaceOfTrade	Unrecognised or invalid Place of Trade.
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
RTGS	RTGSSystem	Impossible to use RTGS System.
ISAF	SafekeepingPlace	Safekeeping place is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
SETR	SettlementTransaction	Unrecognised or invalid Settlement Transaction.
IEXE	SubscriberOrRedeemer	Unrecognised or invalid subscriber or redeemer.
SHIG	TooHighUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too high for a subscription.
LATE	TooLate	Instruction was received after market deadline.
SLOW	TooLowUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too low for a subscription.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.

CodeName	Name	Definition
UWAI	UnacceptedCommissionWaiving	Percentage of commission waiving exceeds the commission percentage or commission amount.
UDCY	UnacceptedDealCurrency	Deal currency is not supported.
UNAV	UnacceptedNAVCurrency	Net asset value currency is not supported.
UPAY	UnacceptedPaymentMethod	Payment method, for example, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.
ULNK	UnknownLinkagesReference	Linked reference is not known.
UNSC	UnacceptableSwitchCombination	Instruction specifies an unacceptable combination for the financial instruments in the switch order.
POIN	DifferentValuationPoints	Order contains funds that have different valuation points.

76.1.48.32.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Rejected reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.48.32.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the rejected reason.

Datatype: [Max350Text](#) on page 3409

76.1.48.33 ConditionallyAcceptedStatus3Choice

Definition: Reason for a conditionally accepted status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3044
Or}	ReasonDetails <RsnDtls>	[1..5]			3044
	Reason <Rsn>	[1..1]			3044
{Or	Code <Cd>	[1..1]	CodeSet		3044
Or}	Proprietary <Prtry>	[1..1]	±		3045
	AdditionalInformation <AddtlInf>	[0..1]	Text		3045

76.1.48.33.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: No reason available or to report for the conditionally accepted status.

Datatype: [NoReasonCode](#) on page 3316

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.33.2 ReasonDetails <RsnDtls>

Presence: [1..5]

Definition: Reason for the conditionally accepted status, expressed as a code.

ReasonDetails <RsnDtls> contains the following **ConditionallyAcceptedStatusReason3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			3044
{Or	Code <Cd>	[1..1]	CodeSet		3044
Or}	Proprietary <Prtry>	[1..1]	±		3045
	AdditionalInformation <AddtlInf>	[0..1]	Text		3045

76.1.48.33.2.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the conditionally accepted status expressed as a code.

Reason <Rsn> contains one of the following **ConditionallyAcceptedStatusReason3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3044
Or}	Proprietary <Prtry>	[1..1]	±		3045

76.1.48.33.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Conditionally accepted reason expressed as a code.

Datatype: [ConditionallyAcceptedStatusReason2Code](#) on page 3261

CodeName	Name	Definition
DOCC	AwaitingDocuments	Order is pending until documents are completed and received, eg, legal documents from the successor, legal proceeds because of bankruptcy, missing signature.
AWRM	AwaitingRedemptionMoney	Order is accepted for further processing but the execution of the order is pending until there are enough funds in the account to complete the redemption.
AWSM	AwaitingSubscriptionMoney	Order is accepted for further processing but the execution of the order is pending until there is enough cash in the account to pay the subscription.
DUPL	PossibleDuplicate	Order is accepted for further processing pending the result of the investigation for possible duplicates.
CRED	TradingLimitExceeded	Order is accepted for further processing pending the extension of the trading limit.

76.1.48.33.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Conditionally accepted reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.48.33.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the conditionally accepted reason.

Datatype: [Max350Text](#) on page 3409

76.1.48.34 CancelledStatusReason16

Definition: Reason for a cancelled status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			3046
{Or	Code <Cd>	[1..1]	CodeSet		3046
Or	Proprietary <Prtry>	[1..1]	±		3047
Or}	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		3047
	AdditionalInformation <AddtlInf>	[0..1]	Text		3047

Constraints

- **AdditionalInformationRule**

(Rule)

The AdditionalInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

- **CancelledElementRule**

(Rule)

Either Reason or AdditionalInformation must be present. Both may be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

76.1.48.34.1 Reason <Rsn>

Presence: [0..1]

Definition: Reason for the cancelled status.

Reason <Rsn> contains one of the following **CancelledReason12Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3046
Or	Proprietary <Prtry>	[1..1]	±		3047
Or}	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		3047

76.1.48.34.1.1 Code <Cd>

Presence: [1..1]

Definition: Cancelled reason expressed as a code.

Datatype: CancelledStatusReason2Code on page 3253

CodeName	Name	Definition
CANH	CancelledByHub	Transaction is cancelled by the hub.

CodeName	Name	Definition
CANP	CancelledByInstructingParty	Transaction is cancelled by the instructing party.
CXLR	EndOfLife	Transaction is rejected by the executing party, the rejection is final therefore the order is cancelled in the system.
CANO	CancelledByOther	Transaction is cancelled by a party other than the instructing party, eg, a market infrastructure such as a stock exchange.

76.1.48.34.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Cancelled reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.48.34.1.3 NoSpecifiedReason <NoSpdfdRsn>

Presence: [1..1]

Definition: No reason available or to report for the cancelled status.

Datatype: [NoReasonCode](#) on page 3316

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.34.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the cancelled status.

Datatype: [Max350Text](#) on page 3409

76.1.48.35 BlockedStatusReason2Choice

Definition: Choice of formats for a blocked status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3048
Or}	Reason <Rsn>	[1..*]			3048
	TransactionType <TxTp>	[1..1]			3049
{Or	Code <Cd>	[1..1]	CodeSet		3049
Or}	Proprietary <Prtry>	[1..1]	±		3050
	Blocked <Blckd>	[1..1]	Indicator		3050
	Reason <Rsn>	[0..*]			3050
{Or	Code <Cd>	[1..1]	CodeSet		3051
Or}	Proprietary <Prtry>	[1..1]	±		3051
	AdditionalInformation <AddtlInf>	[1..1]	Text		3051

76.1.48.35.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: There is no reason available or to report for the closed account status.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.35.2 Reason <Rsn>

Presence: [1..*]

Definition: Transaction type for which the account is blocked and the underlying reason.

Reason <Rsn> contains the following **BlockedStatusReason2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransactionType <TxTp>	[1..1]			3049
{Or	Code <Cd>	[1..1]	CodeSet		3049
Or}	Proprietary <Prtry>	[1..1]	±		3050
	Blocked <Blckd>	[1..1]	Indicator		3050
	Reason <Rsn>	[0..*]			3050
{Or	Code <Cd>	[1..1]	CodeSet		3051
Or}	Proprietary <Prtry>	[1..1]	±		3051
	AdditionalInformation <AddtlInf>	[1..1]	Text		3051

76.1.48.35.2.1 TransactionType <TxTp>

Presence: [1..1]

Definition: Type of transaction for which the account has a blocked status.

TransactionType <TxTp> contains one of the following **TransactionType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3049
Or}	Proprietary <Prtry>	[1..1]	±		3050

76.1.48.35.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Transaction type expressed as a code.

Datatype: [InvestmentFundTransactionType1Code](#) on page 3310

CodeName	Name	Definition
ALLL	All	All types of transactions.
SELL	SecuritiesSale	Sale of securities.
BUYI	SecuritiesPurchase	Purchase of securities.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
TRIN	TransferIn	Transaction is an incoming credit to an account on the shareholders register, and is not linked to a shift in investment (subscription or switch), but to account management.
TOUT	TransferOut	Transaction is a debit to an account on the shareholders register, and is not linked to a shift in investment (redemption or switch), but to account management.
SUBS	Subscription	Transaction is a subscription to an investment fund.
REDM	Redemption	Transaction is a redemption of an investment fund.
CDEP	CashDeposit	Transaction is a cash deposit.
CWIT	CashWithdrawal	Transaction is a cash withdrawal.
DIVP	DividendPayment	Transaction is the payment of dividends and other proceeds.
CAEV	CorporationActionEvent	Transaction is the result of a corporate action.
CROI	CrossIn	Transaction is a cross-in.
CROO	CrossOut	Transaction is a cross out.
DIVI	Dividend	Transaction is a dividend.
INSP	InSpecie	Transaction is an InSpecie.

CodeName	Name	Definition
OTHR	Other	Transaction is another type of transaction.
REAA	RedemptionAssetAllocation	Transaction is a redemption in an asset allocation plan which enables investors to withdraw, by percentage a certain amount of cash from several sub-funds of a same umbrella structure.
RWPL	RedemptionWithdrawingPlan	Transaction is a withdrawal by individuals in the framework of a structured plan for investments made in the past.
RDIV	ReinvestmentOfDividend	Transaction is a reinvestment of dividend.
SSPL	SubscriptionSavingsPlan	Transaction is a subscription for a savings plan, that is, money set aside by individuals in the framework of a structured plan for a special purpose, for example, retirement.
SUAA	SubscriptionAssetAllocation	Transaction is a subscription in an asset allocation plan that enables investors to allocate, by percentage a certain amount of cash into several sub-funds of a same umbrella structure.

76.1.48.35.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Transaction type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.48.35.2.2 Blocked <Blckd>

Presence: [1..1]

Definition: Indicates whether the account is blocked.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.48.35.2.3 Reason <Rsn>

Presence: [0..*]

Definition: Reason for the blocked status.

Reason <Rsn> contains one of the following **BlockedReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3051
Or}	Proprietary <Prtry>	[1..1]	±		3051

76.1.48.35.2.3.1 Code <Cd>

Presence: [1..1]

Definition: Reason expressed as a code.

Datatype: [BlockedReason2Code](#) on page 3250

CodeName	Name	Definition
BKRP	Bankruptcy	Bankruptcy.
CMMT	Commitment	Commitment.
CNFS	Confiscation	Confiscation.
MORT	MortisCausa	Reserved in contemplation of death.
PCOM	PendingComplianceVerification	Pending compliance verification.
PLDG	Pledged	Pledged.
TRPE	Reregistration	Reregistration.
SANC	Sanctions	Sanctions are in place.
TRAN	Transfer	Transfer.

76.1.48.35.2.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.48.35.2.4 AdditionalInformation <AddtlInf>

Presence: [1..1]

Definition: Additional information about the blocked account status.

Datatype: [Max350Text](#) on page 3409

76.1.48.36 PlanStatus2Choice

Definition: Choice of formats for the status of a plan.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3052
Or}	Proprietary <Prtry>	[1..1]	±		3052

76.1.48.36.1 Code <Cd>

Presence: [1..1]

Definition: Status of the plan expressed as a code.

Datatype: [PlanStatus1Code on page 3328](#)

CodeName	Name	Definition
ACTV	Active	Plan is active.
CLOS	Closed	Plan is closed.
SUSP	Suspended	Plan is suspended.

76.1.48.36.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Status of the plan expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.48.37 AccountingStatus1Choice

Definition: Choice of formats for the accounting status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3052
Or}	Proprietary <Prtry>	[1..1]	±		3053

76.1.48.37.1 Code <Cd>

Presence: [1..1]

Definition: Accounting status expressed as a code.

Datatype: [AccountingStatus1Code on page 3241](#)

CodeName	Name	Definition
YDOM	Domestic	Account or party is regarded as domestic for reporting purposes.

CodeName	Name	Definition
NDOM	NotDomestic	Account or party is not regarded as domestic for reporting purposes.

76.1.48.37.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Accounting status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.48.38 PartiallySettledStatus2

Definition: Partially settled status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]	CodeSet		3053
	Proprietary <Prtry>	[1..1]	±		3053

76.1.48.38.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the partially settled status.

Datatype: [PartiallySettledStatusReason1Code](#) on page 3320

CodeName	Name	Definition
UPST	UnitsPartiallySettled	Units are partially settled.
CPST	CashPartiallySettled	Cash is partially settled.
UCPS	UnitsCashPartiallySettled	Units and cash are both partially settled.
HOLA	HoldBackPendingAudit	Final redemption proceeds are held back, pending annual financial audit approval.
HOLL	HoldBackLiquidation	Final redemption proceeds are held back as the fund has been liquidated and is pending audit approval.

76.1.48.38.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the partially settled status.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13 on page 2020](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.48.39 SuspendedStatusReasonChoice

Definition: Suspended status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	CodeSet		3054
Or	Proprietary <Prtry>	[1..1]	±		3054
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3054

76.1.48.39.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the suspended status.

Datatype: [SuspendedStatusReason3Code on page 3358](#)

CodeName	Name	Definition
PRIC	PriceSuspension	There is a suspension of pricing. The order will stay on the books until the next pricing.
FLOW	Overflow	There is a fund overflow.

76.1.48.39.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the suspended status.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13 on page 2020](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.48.39.3 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Indicates that there is no reason available or to report.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.48.40 ConditionallyAcceptedStatusReason1Choice

Definition: Conditionally accepted status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	CodeSet		3055
Or	Proprietary <Prtry>	[1..1]	±		3057
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3057

Constraints

- **NoSpecifiedReasonRule**

(Rule)

NoSpecifiedReason may only be present once.

76.1.48.40.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the conditionally accepted status.

Datatype: [ConditionallyAcceptedStatusReason3Code on page 3261](#)

CodeName	Name	Definition
DOCC	AwaitingDocuments	Order is pending until documents are completed and received, eg, legal documents from the successor, legal proceeds because of bankruptcy, missing signature.
AWSM	AwaitingSubscriptionMoney	Order is accepted for further processing but the execution of the order is pending until there is enough cash in the account to pay the subscription.
DUPL	PossibleDuplicate	Order is accepted for further processing pending the result of the investigation for possible duplicates.
CRED	TradingLimitExceeded	Order is accepted for further processing pending the extension of the trading limit.
BPID	BenefitPlanDeclaration	Order is accepted for further processing but the execution of the order is pending the benefit plan investor (BPI) declaration.
ERIS	ERISADeclaration	Order is accepted for further processing but the execution of the order is pending the ERISA declaration.

CodeName	Name	Definition
AMLD	AMLDocuments	Order is accepted for further processing but the execution of the order is pending until the required anti-money laundering documentation is presented to the transfer agent.
APPR	AwaitingApproval	Order is accepted for further processing but the execution of the order is pending the investment manager's approval.
AFUN	AdditionalFundingRequired	Order is accepted for further processing but the execution of the subscription order is pending as additional funding is required.
BMIN	BelowMinimumInitialInvestmentAmount	Order is accepted for further processing but the execution of the order is pending as the order is below the minimum initial investment amount and is subject to the investment manager's approval.
BMTO	BelowMinimumTopUpAmount	Order is accepted for further processing but the execution of the subscription order is pending as the order is below the minimum top-up investment and is subject to the investment manager's approval.
INSU	InsufficientCapacity	Order is accepted for further processing but the execution of the order is pending as there is insufficient capacity and the order is subject to the investment manager's approval.
PRCT	PercentageHoldingBreach	Order is accepted for further processing but the execution of the order is pending because of a percentage holding breach, eg, PPM rules; taxation rules (ERISA).
BMRA	BelowMinimumRedemptionAmount	Order is accepted for further processing but the execution of the redemption order is pending as it is below the minimum redemption amount and subject to the investment manager's approval.
BMRV	BelowMinimumRetainedAmount	Order is accepted for further processing but the execution of the redemption order is pending as the holding will be below the minimum retained value and subject to the investment manager's approval.
LOCK	LockUp	Order is accepted for further processing but the execution of the order is pending as a lock-up period is in place and subject to the investment manager's approval.
ILLI	AssetsIlliquid	Order is accepted for further processing but the execution of the redemption order is pending as assets are illiquid and the order is subject to the investment manager's approval.
DISC	Discretion	Order is accepted for further processing but the execution of the redemption

CodeName	Name	Definition
		order is pending as it is subject to the investment manager's discretion.
STOP	SubscriptionTopUpAmount	Order is accepted for further processing but the execution of the subscription order is pending as the order is below the minimum investment and a top-up is required.

76.1.48.40.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for the conditionally accepted status.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13 on page 2020](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.48.40.3 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Indicates that there is no reason available or to report.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.49 Structured Postal Address

76.1.49.1 StructuredLongPostalAddress1

Definition: Address of a party expressed in a formal structure, usually according to the country's postal services specifications.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BuildingName <BldgNm>	[0..1]	Text		3058
	StreetName <StrtNm>	[0..1]	Text		3058
	StreetBuildingIdentification <StrtBldgId>	[0..1]	Text		3058
	Floor <Flr>	[0..1]	Text		3058
	TownName <TwnNm>	[1..1]	Text		3059
	DistrictName <DstrctNm>	[0..1]	Text		3059
	RegionIdentification <RgnId>	[0..1]	Text		3059
	State <Stat>	[0..1]	Text		3059
	CountyIdentification <CtyId>	[0..1]	Text		3059
	Country <Ctry>	[1..1]	CodeSet	C11	3059
	PostCodeIdentification <PstCdlId>	[1..1]	Text		3060
	PostOfficeBox <POB>	[0..1]	Text		3060

Constraints

- **StreetNameAndOrPostOfficeBoxRule**

(Rule)

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

76.1.49.1.1 BuildingName <BldgNm>

Presence: [0..1]

Definition: Name of the building or house.

Datatype: Max35Text on page 3409

76.1.49.1.2 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: Max35Text on page 3409

76.1.49.1.3 StreetBuildingIdentification <StrtBldgId>

Presence: [0..1]

Definition: Number that identifies the position of a building on a street.

Datatype: Max35Text on page 3409

76.1.49.1.4 Floor <Flr>

Presence: [0..1]

Definition: Floor or storey within a building.

Datatype: [Max16Text on page 3408](#)

76.1.49.1.5 TownName <TwnNm>

Presence: [1..1]

Definition: Name of a built-up area, with defined boundaries, and a local government.

Datatype: [Max35Text on page 3409](#)

76.1.49.1.6 DistrictName <DstrctNm>

Presence: [0..1]

Definition: Name of a district, that is, a part of a town or region.

Datatype: [Max35Text on page 3409](#)

76.1.49.1.7 RegionIdentification <RgnId>

Presence: [0..1]

Definition: Identification of an administrative division of a country, state, or territory.

Datatype: [Max35Text on page 3409](#)

76.1.49.1.8 State <Stat>

Presence: [0..1]

Definition: Organised political community or area forming a part of a federation.

Datatype: [Max35Text on page 3409](#)

76.1.49.1.9 CountyIdentification <Ctyld>

Presence: [0..1]

Definition: Identifier of a county.

Datatype: [Max35Text on page 3409](#)

76.1.49.1.10 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: [C11 Country](#)

Datatype: [CountryCode on page 3267](#)

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00004

– *Error Text:* Invalid Country Code.

76.1.49.1.11 PostCodeIdentification <PstCld>

Presence: [1..1]

Definition: Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

Datatype: Max16Text on page 3408

76.1.49.1.12 PostOfficeBox <POB>

Presence: [0..1]

Definition: Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.

Datatype: Max16Text on page 3408

76.1.50 Tax

76.1.50.1 Tax18

Definition: Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[1..1]			3061
{Or	Type <Tp>	[1..1]	CodeSet		3061
Or}	Proprietary <Prtry>	[1..1]	±		3063
	Amount <Amt>	[1..1]	Amount	C2	3063
	Rate <Rate>	[0..1]	Rate		3063
	Country <Ctry>	[0..1]	CodeSet	C11	3064
	EUDividendStatusType <EUDvddStsTp>	[0..1]	±		3064
	EUCapitalGainType <EUCptlGnTp>	[0..1]			3064
{Or	EUCapitalGain <EUCptlGn>	[1..1]	CodeSet		3065
Or}	Proprietary <Prtry>	[1..1]	±		3065
	RecipientIdentification <Rcptld>	[0..1]	±		3065
	ExemptionReasonType <XmptnRsnTp>	[0..1]			3065
{Or	ExemptionReason <XmptnRsn>	[1..1]	CodeSet		3066
Or}	Proprietary <Prtry>	[1..1]	±		3068
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3069
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3069
	TaxCalculationBasis <TaxClctnBsis>	[0..1]			3069
{Or	Basis <Bsis>	[1..1]	CodeSet		3069
Or}	Proprietary <Prtry>	[1..1]	±		3070
	TaxableAmount <TaxblAmt>	[0..1]	Amount	C2	3070

76.1.50.1.1 TaxType <TaxTp>

Presence: [1..1]

Definition: Type of tax.

TaxType <TaxTp> contains one of the following TaxDetailsType1Choice elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		3061
Or}	Proprietary <Prtry>	[1..1]	±		3063

76.1.50.1.1.1 Type <Tp>

Presence: [1..1]

Definition: Type of tax applied.

Datatype: [TaxType11Code](#) on page 3371

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).

CodeName	Name	Definition
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

76.1.50.1.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of tax applied.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13 on page 2020](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.50.1.2 Amount <Amt>

Presence: [1..1]

Definition: Amount of money resulting from the calculation of the tax.

Impacted by: C2 ActiveCurrency

Datatype: [ActiveCurrencyAnd13DecimalAmount on page 3237](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.50.1.3 Rate <Rate>

Presence: [0..1]

Definition: Rate used to calculate the tax.

Datatype: [PercentageRate](#) on page 3406

76.1.50.1.4 Country <Ctry>

Presence: [0..1]

Definition: Country where the tax is due.

Impacted by: [C11 Country](#)

Datatype: [CountryCode](#) on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.50.1.5 EUDividendStatusType <EUDvddStsTp>

Presence: [0..1]

Definition: EU dividend status.

EUDividendStatusType <EUDvddStsTp> contains one of the following elements (see [EUDividendStatusType1Choice](#) on page 3225 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUDividendStatus <EUDvddSts>	[1..1]	CodeSet		3226
Or}	Proprietary <Prtry>	[1..1]	±		3226

76.1.50.1.6 EUCapitalGainType <EUCptlGnTp>

Presence: [0..1]

Definition: EU capital gain.

EUCapitalGainType <EUCptlGnTp> contains one of the following **EUCapitalGainType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUCapitalGain <EUCptlGn>	[1..1]	CodeSet		3065
Or}	Proprietary <Prtry>	[1..1]	±		3065

76.1.50.1.6.1 EUCapitalGain <EUCptlGn>

Presence: [1..1]

Definition: Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Datatype: [EUCapitalGain2Code](#) on page 3275

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

76.1.50.1.6.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13](#) on page 2020 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.50.1.7 RecipientIdentification <Rcptld>

Presence: [0..1]

Definition: Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

RecipientIdentification <Rcptld> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.50.1.8 ExemptionReasonType <XmptnRsnTp>

Presence: [0..1]

Definition: Reason for the exemption.

ExemptionReasonType <XmptnRsnTp> contains one of the following **ExemptionReasonType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ExemptionReason <XmptnRsn>	[1..1]	CodeSet		3066
Or}	Proprietary <Prtry>	[1..1]	±		3068

76.1.50.1.8.1 ExemptionReason <XmptnRsn>

Presence: [1..1]

Definition: Reason for a tax exemption.

Datatype: [TaxExemptReason1Code](#) on page 3362

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsuranceISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).

CodeName	Name	Definition
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the

CodeName	Name	Definition
		relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA (required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

76.1.50.1.8.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for a tax exemption.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13](#) on page 2020 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.50.1.9 ExemptionIndicator <XmptnInd>

Presence: [1..1]

Definition: Indicates whether a tax exemption applies.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.50.1.10 TaxCalculationDetails <TaxClctnDtls>

Presence: [0..1]

Definition: Information used to calculate the tax.

TaxCalculationDetails <TaxClctnDtls> contains the following **TaxCalculationInformation7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxCalculationBasis <TaxClctnBsis>	[0..1]			3069
{Or	Basis <Bsis>	[1..1]	CodeSet		3069
Or}	Proprietary <Prtry>	[1..1]	±		3070
	TaxableAmount <TaxblAmt>	[0..1]	Amount	C2	3070

76.1.50.1.10.1 TaxCalculationBasis <TaxClctnBsis>

Presence: [0..1]

Definition: Calculation basis.

TaxCalculationBasis <TaxClctnBsis> contains one of the following **TaxCalculationBasisType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Basis <Bsis>	[1..1]	CodeSet		3069
Or}	Proprietary <Prtry>	[1..1]	±		3070

76.1.50.1.10.1.1 Basis <Bsis>

Presence: [1..1]

Definition: Basis used to determine the capital gain or loss, eg, the purchase price.

Datatype: [TaxationBasis2Code](#) on page 3360

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

76.1.50.1.10.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Basis used to determine the capital gain or loss, eg, the purchase price.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13](#) on page 2020 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.50.1.10.2 TaxableAmount <TaxblAmt>

Presence: [0..1]

Definition: Amount of money that it is to be taxed.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyAnd13DecimalAmount](#) on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.50.2 TaxReference1

Definition: Pension scheme tax reference.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[0..1]			3071
{Or	Code <Cd>	[1..1]	CodeSet		3071
Or}	Proprietary <Prtry>	[1..1]	±		3071
	Reference <Ref>	[1..1]	Text		3072
	HolderType <HldrTp>	[0..1]			3072
{Or	Code <Cd>	[1..1]	CodeSet		3072
Or}	Proprietary <Prtry>	[1..1]	±		3072

76.1.50.2.1 TaxType <TaxTp>

Presence: [0..1]

Definition: Type of tax reference.

TaxType <TaxTp> contains one of the following **TaxReferenceType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3071
Or}	Proprietary <Prtry>	[1..1]	±		3071

76.1.50.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of tax reference expressed as a code.

Datatype: PersonIdentificationType7Code on page 3328

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

76.1.50.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of tax reference expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.50.2.2 Reference <Ref>

Presence: [1..1]

Definition: Tax reference.

Datatype: [Max35Text on page 3409](#)

76.1.50.2.3 HolderType <HldrTp>

Presence: [0..1]

Definition: Type of reference holder. For example, the transferee's tax reference. The transferee may also be known as the acquiring party.

HolderType <HldrTp> contains one of the following **TaxReferenceParty1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3072
Or}	Proprietary <Prtry>	[1..1]	±		3072

76.1.50.2.3.1 Code <Cd>

Presence: [1..1]

Definition: Type of party expressed as a code.

Datatype: [HolderType1Code on page 3289](#)

CodeName	Name	Definition
TFEE	Transferee	Holder is the transferee party. The transferee party may also be known as the acquiring party.
TFOR	Transferor	Holder is the transferor party. The transferee party may also be known as the ceding party.

76.1.50.2.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of party expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.50.3 Tax38

Definition: Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3073
{Or	Code <Cd>	[1..1]	CodeSet		3074
Or}	Proprietary <Prtry>	[1..1]	±		3074
	Basis <Bsis>	[0..1]			3075
{Or	Code <Cd>	[1..1]	CodeSet		3075
Or}	Proprietary <Prtry>	[1..1]	±		3075
	Amount <Amt>	[1..1]	Amount	C2, C10	3075
	Country <Ctry>	[0..1]	CodeSet	C11	3076
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3077
	ExemptionReason <XmptnRsn>	[0..1]			3077
{Or	Code <Cd>	[1..1]	CodeSet		3077
Or}	Proprietary <Prtry>	[1..1]	±		3080
	RecipientIdentification <Rcptld>	[0..1]	±		3080
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3080
	Basis <Bsis>	[0..1]			3081
{Or	Code <Cd>	[1..1]	CodeSet		3081
Or}	Proprietary <Prtry>	[1..1]	±		3081
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3082

76.1.50.3.1 Type <Tp>

Presence: [1..1]

Definition: Type of tax.

Type <Tp> contains one of the following **TaxType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3074
Or}	Proprietary <Prtry>	[1..1]	±		3074

76.1.50.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of tax expressed as a code.

Datatype: [TaxType16Code](#) on page 3372

CodeName	Name	Definition
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
LEVY	PaymentLevyTax	Tax levied on a payment.
LOCL	LocalTax	Tax that is charged by a local settlement system or local jurisdiction.
NATI	NationalTax	Tax is a national tax.
PROV	Provincial	Tax is a provincial tax.
STAM	StampDuty	Tax is on certain documents and transactions.
STAT	StateTax	Tax is a state tax.
STEX	StockExchangeTax	Tax collected by a stock exchange.
TRAN	TransferTax	Tax levied on a transfer.
TRAX	TransactionTax	Tax levied on a transaction.
VATA	ValueAddedTax	Tax is a value added tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.

76.1.50.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of tax expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.3.2 Basis <Bsis>

Presence: [0..1]

Definition: Basis used to determine the capital gain or loss.

Basis <Bsis> contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3075
Or}	Proprietary <Prtry>	[1..1]	±		3075

76.1.50.3.2.1 Code <Cd>

Presence: [1..1]

Definition: Tax basis expressed as a code.

Datatype: [TaxationBasis2Code](#) on page 3360

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

76.1.50.3.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Tax basis expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.3.3 Amount <Amt>

Presence: [1..1]

Definition: Amount of money resulting from the calculation of the tax.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.50.3.4 Country <Ctry>

Presence: [0..1]

Definition: Country where the tax is due.

Impacted by: C11 Country __

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004

– *Error Text:* Invalid Country Code.

76.1.50.3.5 ExemptionIndicator <XmptnInd>

Presence: [1..1]

Definition: Indicates whether a tax exemption applies.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.50.3.6 ExemptionReason <XmptnRsn>

Presence: [0..1]

Definition: Reason for the tax exemption.

ExemptionReason <XmptnRsn> contains one of the following **ExemptionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3077
Or}	Proprietary <Prtry>	[1..1]	±		3080

76.1.50.3.6.1 Code <Cd>

Presence: [1..1]

Definition: Exemption reason expressed as a code.

Datatype: [TaxExemptReason1Code](#) on page 3362

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.

CodeName	Name	Definition
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsurancelSA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).

CodeName	Name	Definition
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA (required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the

CodeName	Name	Definition
		withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

76.1.50.3.6.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Exemption reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.3.7 RecipientIdentification <Rcptld>

Presence: [0..1]

Definition: Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

RecipientIdentification <Rcptld> contains the following elements (see [PartyIdentification139 on page 2619](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.50.3.8 TaxCalculationDetails <TaxClctnDtls>

Presence: [0..1]

Definition: Information used to calculate the tax.

TaxCalculationDetails <TaxClctnDtls> contains the following **TaxCalculationInformation11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[0..1]			3081
{Or	Code <Cd>	[1..1]	CodeSet		3081
Or}	Proprietary <Prtry>	[1..1]	±		3081
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3082

76.1.50.3.8.1 Basis <Bsis>

Presence: [0..1]

Definition: Basis used to determine the capital gain or loss.

Basis <Bsis> contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3081
Or}	Proprietary <Prtry>	[1..1]	±		3081

76.1.50.3.8.1.1 Code <Cd>

Presence: [1..1]

Definition: Tax basis expressed as a code.

Datatype: [TaxationBasis2Code](#) on page 3360

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

76.1.50.3.8.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Tax basis expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.3.8.2 TaxableAmount <TaxblAmt>

Presence: [1..1]

Definition: Amount of money on which the tax is charged.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.50.4 TaxReporting3

Definition: Information for tax reporting.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C11	3083
	TaxRate <TaxRate>	[0..1]	Rate		3084
	TaxPayer <TaxPyer>	[0..1]	±		3084
	TaxRecipient <TaxRcpt>	[0..1]	±		3084
	CashAccountDetails <CshAcctDtls>	[0..1]			3084
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	3085
	Identification <Id>	[1..1]	±		3086
	AccountOwner <AcctOwnr>	[0..1]	±		3086
	AccountServicer <AcctSvcr>	[0..1]	±		3086
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		3087
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		3087
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		3088
	CreditDebit <CdtDbt>	[0..1]	CodeSet		3088
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			3088
{Or	Code <Cd>	[1..1]	CodeSet		3089
Or}	Proprietary <Prtry>	[1..1]	±		3089
	CashAccountPurpose <CshAcctPurp>	[0..1]			3090
{Or	Code <Cd>	[1..1]	CodeSet		3090
Or}	Proprietary <Prtry>	[1..1]	±		3090
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			3091
{Or	Code <Cd>	[1..1]	CodeSet		3091
Or}	Proprietary <Prtry>	[1..1]	±		3091
	DividendPercentage <DvddPctg>	[0..1]	Rate		3091
	Description <Desc>	[0..1]	Text		3091

76.1.50.4.1 TaxationCountry <TaxtnCtry>

Presence: [1..1]

Definition: Country of taxation of the organisation or individual person.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

• **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.50.4.2 TaxRate <TaxRate>

Presence: [0..1]

Definition: Tax rate to be applied.

Datatype: [PercentageRate on page 3406](#)

76.1.50.4.3 TaxPayer <TaxPyer>

Presence: [0..1]

Definition: Party that pays the tax.

TaxPayer <TaxPyer> contains one of the following elements (see [PartyIdentification125Choice on page 2618](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.50.4.4 TaxRecipient <TaxRcpt>

Presence: [0..1]

Definition: Party that receives the tax.

TaxRecipient <TaxRcpt> contains one of the following elements (see [PartyIdentification125Choice on page 2618](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.50.4.5 CashAccountDetails <CshAcctDtls>

Presence: [0..1]

Definition: Cash account information for the payment of tax.

CashAccountDetails <CshAcctDtls> contains the following **CashAccount204** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	3085
	Identification <Id>	[1..1]	±		3086
	AccountOwner <AcctOwnr>	[0..1]	±		3086
	AccountServicer <AcctSvcr>	[0..1]	±		3086
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		3087
	AccountOwnerOtherIdentification <AcctOwnrOthrlid>	[0..*]	±		3087
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		3088
	CreditDebit <CdtDbt>	[0..1]	CodeSet		3088
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			3088
{Or	Code <Cd>	[1..1]	CodeSet		3089
Or}	Proprietary <Prtry>	[1..1]	±		3089
	CashAccountPurpose <CshAcctPurp>	[0..1]			3090
{Or	Code <Cd>	[1..1]	CodeSet		3090
Or}	Proprietary <Prtry>	[1..1]	±		3090
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			3091
{Or	Code <Cd>	[1..1]	CodeSet		3091
Or}	Proprietary <Prtry>	[1..1]	±		3091
	DividendPercentage <DvddPctg>	[0..1]	Rate		3091

76.1.50.4.5.1 SettlementCurrency <SttlmCcy>

Presence: [1..1]

Definition: Currency associated with the payment instrument.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyCode on page 3246

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.50.4.5.2 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

Identification <Id> contains the following elements (see [AccountIdentificationAndName5](#) on page 1601 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1601
	Name <Nm>	[0..1]	Text		1602

76.1.50.4.5.3 AccountOwner <AcctOwnr>

Presence: [0..1]

Definition: Party that legally owns the account.

AccountOwner <AcctOwnr> contains one of the following elements (see [PartyIdentification125Choice](#) on page 2618 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	2618
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2619
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2619

76.1.50.4.5.4 AccountServicer <AcctSvcr>

Presence: [0..1]

Definition: Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

AccountServicer <AcctSvcr> contains one of the following elements (see [FinancialInstitutionIdentification11Choice](#) on page 1845 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1845
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1845
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1846
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1847
	Identification <Id>	[1..1]	Text		1847

76.1.50.4.5.5 AccountServicerBranch <AcctSvcrBrnch>

Presence: [0..1]

Definition: Information identifying a specific branch of a financial institution.

Usage: this component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

AccountServicerBranch <AcctSvcrBrnch> contains the following elements (see [BranchData4](#) on page 1844 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1844
	Name <Nm>	[0..1]	Text		1844
	PostalAddress <PstlAdr>	[0..1]	±		1844

76.1.50.4.5.6 AccountOwnerOtherIdentification <AcctOwnrOthrid>

Presence: [0..*]

Definition: Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CFP) account as required for Singapore.

AccountOwnerOtherIdentification <AcctOwnrOthrId> contains the following elements (see [GenericIdentification82 on page 2007](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2008
	Type <Tp>	[1..1]			2008
{Or	Code <Cd>	[1..1]	CodeSet		2008
Or}	Proprietary <Prtry>	[1..1]	±		2009
	Issuer <Issr>	[0..1]	Text		2009
	IssueDate <IssDt>	[0..1]	Date		2010
	ExpiryDate <XpryDt>	[0..1]	Date		2010
	State <Stat>	[0..1]	Text		2010
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	2010

76.1.50.4.5.7 InvestmentAccountType <InvstmtAcctTp>

Presence: [0..1]

Definition: Type of account.

InvestmentAccountType <InvstmtAcctTp> contains one of the following elements (see [AccountType2Choice on page 1591](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1591
Or}	Proprietary <Prtry>	[1..1]	±		1591

76.1.50.4.5.8 CreditDebit <CdtDbt>

Presence: [0..1]

Definition: Specifies if the account is for credits or debits.

Datatype: [CreditDebit3Code on page 3267](#)

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

76.1.50.4.5.9 SettlementInstructionReason <SttlmInstrRsn>

Presence: [0..1]

Definition: Type of transaction for which the cash account is specified.

SettlementInstructionReason <SttlInstrRsn> contains one of the following **SettlementInstructionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3089
Or}	Proprietary <Prtry>	[1..1]	±		3089

76.1.50.4.5.9.1 Code <Cd>

Presence: [1..1]

Definition: Settlement instruction reason expressed as a code.

Datatype: [SettlementInstructionReason1Code](#) on page 3355

CodeName	Name	Definition
CSHI	AllCredits	Settlement of all credit amounts.
ALLL	AllCreditsAndDebits	Settlement of all credit and debit amounts.
CSHO	AllDebits	Settlement of all debit amounts.
CHAR	Charges	Settlement of charges.
DIVI	Dividend	Settlement of dividends.
INTE	Interest	Settlement of interest.
SAVP	InvestmentSavingsPlan	Settlement of investments to a savings plan.
REDM	Redemption	Settlement of redemptions or redemption legs of a switch transaction.
SAVE	SavingsPlan	Settlement of investments to a savings plan and withdrawals from a savings plan.
BUYI	SecuritiesPurchase	Settlement of securities purchases.
SELL	SecuritiesSale	Settlement of securities sales.
SUBS	Subscription	Settlement of subscriptions or subscription legs of a switch transaction.
WTHP	WithdrawalSavingsPlan	Settlement of withdrawals from a savings plan.
CORP	CorporateAction	Settlement of corporate actions.

76.1.50.4.5.9.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Settlement instruction reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.4.5.10 CashAccountPurpose <CshAcctPurp>

Presence: [0..1]

Definition: Purpose of the cash account.

CashAccountPurpose <CshAcctPurp> contains one of the following **CashAccountType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3090
Or}	Proprietary <Prtry>	[1..1]	±		3090

76.1.50.4.5.10.1 Code <Cd>

Presence: [1..1]

Definition: Type of cash account expressed as a code.

Datatype: [CashAccountType5Code](#) on page 3253

CodeName	Name	Definition
LEND	Lending	Account is for the coverage of lending.
COLL	Collateral	Account is for collateral.
SETT	FinancialSettlement	Account is for financial settlements.
MARR	MarginReturn	Account is for margin returns.
SEGT	Segregated	Account is an segregated account.

76.1.50.4.5.10.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of cash account expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.4.5.11 CashAccountDesignation <CshAcctDsgnt>

Presence: [0..1]

Definition: Specifies whether the account is the primary or secondary account if there are two accounts for the same purpose.

CashAccountDesignation <CshAcctDsgnt> contains one of the following **AccountDesignation1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3091
Or}	Proprietary <Prtry>	[1..1]	±		3091

76.1.50.4.5.11.1 Code <Cd>

Presence: [1..1]

Definition: Account designation expressed as a code.

Datatype: [Rank1Code on page 3333](#)

CodeName	Name	Definition
PRIM	Primary	Element is the primary one.
SECO	Secondary	Element is the primary one.

76.1.50.4.5.11.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Account designation expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.4.5.12 DividendPercentage <DvddPctg>

Presence: [0..1]

Definition: Percentage of the dividend payment not to be reinvested, that is, to be paid in cash.

Datatype: [PercentageBoundedRate on page 3406](#)

76.1.50.4.6 Description <Desc>

Presence: [0..1]

Definition: Additional information for the reporting of tax.

Datatype: [Max350Text on page 3409](#)

76.1.50.5 Tax35

Definition: Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3092
{Or	Code <Cd>	[1..1]	CodeSet		3092
Or}	Proprietary <Prtry>	[1..1]	±		3094
	AppliedAmount <ApldAmt>	[1..1]	Amount	C2, C10	3094
	AppliedRate <ApldRate>	[0..1]	Rate		3095
	Country <Ctry>	[0..1]	CodeSet	C11	3095
	RecipientIdentification <Rcptld>	[0..1]	±		3095
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3095
	Basis <Bsis>	[0..1]			3096
{Or	Code <Cd>	[1..1]	CodeSet		3096
Or}	Proprietary <Prtry>	[1..1]	±		3096
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3097

76.1.50.5.1 Type <Tp>

Presence: [1..1]

Definition: Type of tax.

Type <Tp> contains one of the following **TaxType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3092
Or}	Proprietary <Prtry>	[1..1]	±		3094

76.1.50.5.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of tax expressed as a code.

Datatype: [TaxType17Code](#) on page 3373

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest

CodeName	Name	Definition
		on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The

CodeName	Name	Definition
		calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

76.1.50.5.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of tax expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.5.2 AppliedAmount <ApldAmt>

Presence: [1..1]

Definition: Amount of money resulting from the calculation of the tax.

Impacted by: [C2 ActiveCurrency](#) __, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount on page 3238](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.50.5.3 AppliedRate <ApIdRate>

Presence: [0..1]

Definition: Rate used to calculate the tax.

Datatype: PercentageRate on page 3406

76.1.50.5.4 Country <Ctry>

Presence: [0..1]

Definition: Country where the tax is due.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.50.5.5 RecipientIdentification <RcptId>

Presence: [0..1]

Definition: Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

RecipientIdentification <RcptId> contains the following elements (see PartyIdentification139 on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.50.5.6 TaxCalculationDetails <TaxClctnDtIs>

Presence: [0..1]

Definition: Information used to calculate the tax.

TaxCalculationDetails <TaxClctnDtls> contains the following **TaxCalculationInformation10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[0..1]			3096
{Or	Code <Cd>	[1..1]	CodeSet		3096
Or}	Proprietary <Prtry>	[1..1]	±		3096
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3097

76.1.50.5.6.1 Basis <Bsis>

Presence: [0..1]

Definition: Form of the rebate, for example, cash.

Basis <Bsis> contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3096
Or}	Proprietary <Prtry>	[1..1]	±		3096

76.1.50.5.6.1.1 Code <Cd>

Presence: [1..1]

Definition: Tax basis expressed as a code.

Datatype: [TaxationBasis2Code](#) on page 3360

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

76.1.50.5.6.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Tax basis expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.5.6.2 TaxableAmount <TaxblAmt>

Presence: [1..1]

Definition: Amount of money on which the tax is charged.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.50.6 InformativeTax1

Definition: Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	3099
	EUCapitalGain <EUCptlGn>	[0..1]			3099
{Or	Code <Cd>	[1..1]	CodeSet		3100
Or}	Proprietary <Prtry>	[1..1]	±		3100
	EUDividendStatus <EUDvddSts>	[0..1]			3100
{Or	Code <Cd>	[1..1]	CodeSet		3101
Or}	Proprietary <Prtry>	[1..1]	±		3101
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		3101
	IndividualTax <IndvTax>	[0..*]			3101
	Type <Tp>	[1..1]			3102
{Or	Code <Cd>	[1..1]	CodeSet		3102
Or}	Proprietary <Prtry>	[1..1]	±		3104
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	3104
	InformativeRate <InftvRate>	[0..1]	Rate		3105
	Country <Ctry>	[0..1]	CodeSet	C11	3105
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3105
	ExemptionReason <XmptnRsn>	[0..1]			3105
{Or	Code <Cd>	[1..1]	CodeSet		3106
Or}	Proprietary <Prtry>	[1..1]	±		3108
	RecipientIdentification <Rcptld>	[0..1]	±		3109
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3109
	Basis <Bsis>	[0..1]			3109
{Or	Code <Cd>	[1..1]	CodeSet		3110
Or}	Proprietary <Prtry>	[1..1]	±		3110
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3110

Constraints

• **TaxElementRule**

(Rule)

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.50.6.1 TaxableIncomePerDividend <TaxblIncmPerDvdd>

Presence: [0..1]

Definition: Amount included in the dividend that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.50.6.2 EUCapitalGain <EUCptlGn>

Presence: [0..1]

Definition: Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

EUCapitalGain <EUCptlGn> contains one of the following **EUCapitalGain3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3100
Or}	Proprietary <Prtry>	[1..1]	±		3100

76.1.50.6.2.1 Code <Cd>

Presence: [1..1]

Definition: EU capital gain expressed as a code.

Datatype: [EUCapitalGain2Code](#) on page 3275

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

76.1.50.6.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: EU capital gain expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.6.3 EUDividendStatus <EUDvddSts>

Presence: [0..1]

Definition: Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

EUDividendStatus <EUDvddSts> contains one of the following **EUDividendStatusType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3101
Or}	Proprietary <Prtry>	[1..1]	±		3101

76.1.50.6.3.1 Code <Cd>

Presence: [1..1]

Definition: EU dividend status expressed as a code.

Datatype: [EUDividendStatus1Code](#) on page 3275

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

76.1.50.6.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: EU dividend status expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.6.4 PercentageOfDebtClaim <PctgOfDebtClm>

Presence: [0..1]

Definition: Percentage of the underlying assets of the funds that represents a debt and is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June).

Datatype: [PercentageRate](#) on page 3406

76.1.50.6.5 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Information related to a specific tax that is provided for information purposes.

IndividualTax <IndvTax> contains the following **Tax32** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3102
{Or	Code <Cd>	[1..1]	CodeSet		3102
Or}	Proprietary <Prtry>	[1..1]	±		3104
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	3104
	InformativeRate <InftvRate>	[0..1]	Rate		3105
	Country <Ctry>	[0..1]	CodeSet	C11	3105
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3105
	ExemptionReason <XmptnRsn>	[0..1]			3105
{Or	Code <Cd>	[1..1]	CodeSet		3106
Or}	Proprietary <Prtry>	[1..1]	±		3108
	RecipientIdentification <Rcptld>	[0..1]	±		3109
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3109
	Basis <Bsis>	[0..1]			3109
{Or	Code <Cd>	[1..1]	CodeSet		3110
Or}	Proprietary <Prtry>	[1..1]	±		3110
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3110

76.1.50.6.5.1 Type <Tp>

Presence: [1..1]

Definition: Type of tax applied.

Type <Tp> contains one of the following **TaxType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3102
Or}	Proprietary <Prtry>	[1..1]	±		3104

76.1.50.6.5.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of tax expressed as a code.

Datatype: [TaxType17Code](#) on page 3373

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.

CodeName	Name	Definition
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).

CodeName	Name	Definition
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

76.1.50.6.5.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of tax expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.6.5.2 InformativeAmount <InftvAmt>

Presence: [0..1]

Definition: Amount of money resulting from the calculation of the tax. This amount is provided for information only.

Impacted by: [C2 ActiveCurrency](#) ____, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.50.6.5.3 InformativeRate <InftvRate>

Presence: [0..1]

Definition: Rate used to calculate the tax. This rate is provided for information only.

Datatype: PercentageRate on page 3406

76.1.50.6.5.4 Country <Ctry>

Presence: [0..1]

Definition: Country where the tax is due.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.50.6.5.5 ExemptionIndicator <XmptnInd>

Presence: [1..1]

Definition: Indicates whether a tax exemption applies.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.50.6.5.6 ExemptionReason <XmptnRsn>

Presence: [0..1]

Definition: Reason for the tax exemption.

ExemptionReason <XmptnRsn> contains one of the following **ExemptionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3106
Or}	Proprietary <Prtry>	[1..1]	±		3108

76.1.50.6.5.6.1 Code <Cd>

Presence: [1..1]

Definition: Exemption reason expressed as a code.

Datatype: [TaxExemptReason1Code](#) on page 3362

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsuranceISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).

CodeName	Name	Definition
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).

CodeName	Name	Definition
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA (required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

76.1.50.6.5.6.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Exemption reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.6.5.7 RecipientIdentification <Rcptld>

Presence: [0..1]

Definition: Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

RecipientIdentification <Rcptld> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.50.6.5.8 TaxCalculationDetails <TaxClctnDtls>

Presence: [0..1]

Definition: Information used to calculate the tax.

TaxCalculationDetails <TaxClctnDtls> contains the following [TaxCalculationInformation10](#) elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[0..1]			3109
{Or	Code <Cd>	[1..1]	CodeSet		3110
Or}	Proprietary <Prtry>	[1..1]	±		3110
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3110

76.1.50.6.5.8.1 Basis <Bsis>

Presence: [0..1]

Definition: Form of the rebate, for example, cash.

Basis <Bsis> contains one of the following [TaxBasis1Choice](#) elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3110
Or}	Proprietary <Prtry>	[1..1]	±		3110

76.1.50.6.5.8.1.1 Code <Cd>

Presence: [1..1]

Definition: Tax basis expressed as a code.

Datatype: [TaxationBasis2Code on page 3360](#)

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

76.1.50.6.5.8.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Tax basis expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.6.5.8.2 TaxableAmount <TaxblAmt>

Presence: [1..1]

Definition: Amount of money on which the tax is charged.

Impacted by: [C2 ActiveCurrency](#), [C10 CurrencyAmount](#)

Datatype: [ActiveCurrencyAndAmount on page 3238](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.50.7 Tax31

Definition: Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3111
{Or	Code <Cd>	[1..1]	CodeSet		3111
Or}	Proprietary <Prtry>	[1..1]	±		3113
	AppliedAmount <ApldAmt>	[1..1]	Amount	C2, C10	3113
	AppliedRate <ApldRate>	[0..1]	Rate		3114
	Country <Ctry>	[0..1]	CodeSet	C11	3114
	RecipientIdentification <RcptId>	[0..1]	±		3114
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3115
	Basis <Bsis>	[0..1]			3115
{Or	Code <Cd>	[1..1]	CodeSet		3115
Or}	Proprietary <Prtry>	[1..1]	±		3115
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3116

76.1.50.7.1 Type <Tp>

Presence: [1..1]

Definition: Type of tax.

Type <Tp> contains one of the following **TaxType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3111
Or}	Proprietary <Prtry>	[1..1]	±		3113

76.1.50.7.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of tax expressed as a code.

Datatype: TaxType17Code on page 3373

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain

CodeName	Name	Definition
		tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiegewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

76.1.50.7.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of tax expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47 on page 2015](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.7.2 AppliedAmount <ApldAmt>

Presence: [1..1]

Definition: Amount of money resulting from the calculation of the tax.

Impacted by: [C2 ActiveCurrency](#) __, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount on page 3238](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text*: Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00007

– *Error Text*: Invalid currency code or too many decimal digits.

76.1.50.7.3 AppliedRate <ApldRate>

Presence: [0..1]

Definition: Rate used to calculate the tax.

Datatype: PercentageRate on page 3406

76.1.50.7.4 Country <Ctr>

Presence: [0..1]

Definition: Country where the tax is due.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

– *Error severity*: Fatal

– *Error Code*: D00004

– *Error Text*: Invalid Country Code.

76.1.50.7.5 RecipientIdentification <RcptId>

Presence: [0..1]

Definition: Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

RecipientIdentification <RcptId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.50.7.6 TaxCalculationDetails <TaxClctnDtIs>

Presence: [0..1]

Definition: Information used to calculate the tax.

TaxCalculationDetails <TaxClctnDtIs> contains the following **TaxCalculationInformation10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[0..1]			3115
{Or	Code <Cd>	[1..1]	CodeSet		3115
Or}	Proprietary <Prtry>	[1..1]	±		3115
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3116

76.1.50.7.6.1 Basis <Bsis>

Presence: [0..1]

Definition: Form of the rebate, for example, cash.

Basis <Bsis> contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3115
Or}	Proprietary <Prtry>	[1..1]	±		3115

76.1.50.7.6.1.1 Code <Cd>

Presence: [1..1]

Definition: Tax basis expressed as a code.

Datatype: [TaxationBasis2Code](#) on page 3360

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

76.1.50.7.6.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Tax basis expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.7.6.2 TaxableAmount <TaxblAmt>

Presence: [1..1]

Definition: Amount of money on which the tax is charged.

Impacted by: [C2 ActiveCurrency](#) ____, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.50.8 Tax30

Definition: Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3117
{Or	Code <Cd>	[1..1]	CodeSet		3117
Or}	Proprietary <Prtry>	[1..1]	±		3119
	Tax <Tax>	[0..1]			3119
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	3119
Or}	Rate <Rate>	[1..1]	Rate		3120
	Country <Ctry>	[0..1]	CodeSet	C11	3120
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3120
	ExemptionReason <XmptnRsn>	[0..1]			3121
{Or	Code <Cd>	[1..1]	CodeSet		3121
Or}	Proprietary <Prtry>	[1..1]	±		3124
	RecipientIdentification <Rcptld>	[0..1]	±		3124
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3124
	Basis <Bsis>	[1..1]			3125
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3125

76.1.50.8.1 Type <Tp>

Presence: [1..1]

Definition: Type of tax.

Type <Tp> contains one of the following **TaxType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3117
Or}	Proprietary <Prtry>	[1..1]	±		3119

76.1.50.8.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of tax expressed as a code.

Datatype: [TaxType17Code](#) on page 3373

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.

CodeName	Name	Definition
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the

CodeName	Name	Definition
		opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

76.1.50.8.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of tax expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.8.2 Tax <Tax>

Presence: [0..1]

Definition: Tax to be applied.

Tax <Tax> contains one of the following **TaxAmountOrRate4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	3119
Or}	Rate <Rate>	[1..1]	Rate		3120

76.1.50.8.2.1 Amount <Amt>

Presence: [1..1]

Definition: Amount of money resulting from the calculation of the tax.

Impacted by: [C2 ActiveCurrency](#), [C10 CurrencyAmount](#)

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.50.8.2.2 Rate <Rate>

Presence: [1..1]

Definition: Rate used to calculate the tax.

Datatype: PercentageRate on page 3406

76.1.50.8.3 Country <Ctry>

Presence: [0..1]

Definition: Country where the tax is due.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

• **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.50.8.4 ExemptionIndicator <XmptnInd>

Presence: [1..1]

Definition: Indicates whether a tax exemption applies.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.50.8.5 ExemptionReason <XmptnRsn>

Presence: [0..1]

Definition: Reason for the tax exemption.

ExemptionReason <XmptnRsn> contains one of the following **ExemptionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3121
Or}	Proprietary <Prtry>	[1..1]	±		3124

76.1.50.8.5.1 Code <Cd>

Presence: [1..1]

Definition: Exemption reason expressed as a code.

Datatype: [TaxExemptReason1Code](#) on page 3362

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsuranceISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the

CodeName	Name	Definition
		prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).

CodeName	Name	Definition
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA (required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).

CodeName	Name	Definition
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

76.1.50.8.5.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Exemption reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.8.6 RecipientIdentification <RcptId>

Presence: [0..1]

Definition: Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

RecipientIdentification <RcptId> contains the following elements (see [PartyIdentification113](#) on page 2625 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2625
	LEI <LEI>	[0..1]	IdentifierSet		2626

76.1.50.8.7 TaxCalculationDetails <TaxClctnDtIs>

Presence: [0..1]

Definition: Information used to calculate the tax.

TaxCalculationDetails <TaxClctnDtIs> contains the following **TaxCalculationInformation9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[1..1]			3125
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3125

76.1.50.8.7.1 Basis <Bsis>

Presence: [1..1]

Definition: Form of the rebate, for example, cash.

Basis <Bsis> contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3125

76.1.50.8.7.1.1 Code <Cd>

Presence: [1..1]

Definition: Tax basis expressed as a code.

Datatype: [TaxationBasis2Code](#) on page 3360

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

76.1.50.8.7.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Tax basis expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.9 TaxExemptionReason2Choice

Definition: Choice of formats for the specification of the tax exemption reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3125
Or}	Proprietary <Prtry>	[1..1]	±		3129

76.1.50.9.1 Code <Cd>

Presence: [1..1]

Definition: Tax exemption reason expressed as a code.

Datatype: TaxExemptReason3Code on page 3367

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsuranceISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).

CodeName	Name	Definition
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).

CodeName	Name	Definition
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA (required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).
FORE	Foreigner	Account is for a foreigner for which a tax exemption is permitted.
INCA	Incapacity	Exemption due to incapacitation.
MINO	Minor	Account is for a minor for which a tax exemption is permitted.
ASSO	Association	Account is for an association, for example, a sports club, for which a tax exemption is permitted.
DIPL	Diplomat	Account is for a diplomat for which a tax exemption is permitted.
DOME	Domestic	Account is for two account owners that are both domestic.
FORP	OneOrBothForeign	Account is for two account owners where one or both are foreign.
ORDR	Ordinary	Ordinary reporting.

CodeName	Name	Definition
PENF	PensionFund	Account is for a pension fund for which a tax exemption is permitted.
REFU	Refugee	Account is for a refugee or person without a number assigned by a government organisation, for example, without a Danish Central Securities Number.
RIHO	RightsHolder	Account is for a rights holder.
ADMI	Administrator	Administrator of the account is not the owner.
TANR	TwoNonResident	Two or more of the account owners are foreign residents.
OANR	OneNonResident	One of the account owners is a foreign resident.

76.1.50.9.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Tax exemption reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification47](#) on page 2015 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2015
	Issuer <Issr>	[1..1]	Text		2015
	SchemeName <SchmeNm>	[0..1]	Text		2015

76.1.50.10 TotalTaxes4

Definition: Information regarding the total amount of taxes.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalAmountOfTaxes <TtlAmtOfTaxes>	[0..1]	Amount	C2	3129
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	3130
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		3131
	TaxDetails <TaxDtls>	[0..*]	±		3131

76.1.50.10.1 TotalAmountOfTaxes <TtlAmtOfTaxes>

Presence: [0..1]

Definition: Total value of the taxes for a specific order.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.50.10.2 TaxableIncomePerDividend <TaxblIncmPerDvdd>

Presence: [0..1]

Definition: Amount included in the dividend that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

Impacted by: C2 ActiveCurrency ____, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.50.10.3 PercentageOfDebtClaim <PctgOfDebtClm>

Presence: [0..1]

Definition: Percentage of the underlying assets of the funds that represents a debt and is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June).

Datatype: [PercentageRate](#) on page 3406

76.1.50.10.4 TaxDetails <TaxDtls>

Presence: [0..*]

Definition: Information related to a specific tax.

TaxDetails <TaxDtls> contains the following elements (see [Tax18](#) on page 3060 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[1..1]			3061
{Or	Type <Tp>	[1..1]	CodeSet		3061
Or}	Proprietary <Prtry>	[1..1]	±		3063
	Amount <Amt>	[1..1]	Amount	C2	3063
	Rate <Rate>	[0..1]	Rate		3063
	Country <Ctry>	[0..1]	CodeSet	C11	3064
	EUDividendStatusType <EUDvddStsTp>	[0..1]	±		3064
	EUCapitalGainType <EUCptlGnTp>	[0..1]			3064
{Or	EUCapitalGain <EUCptlGn>	[1..1]	CodeSet		3065
Or}	Proprietary <Prtry>	[1..1]	±		3065
	RecipientIdentification <Rcptld>	[0..1]	±		3065
	ExemptionReasonType <XmptnRsnTp>	[0..1]			3065
{Or	ExemptionReason <XmptnRsn>	[1..1]	CodeSet		3066
Or}	Proprietary <Prtry>	[1..1]	±		3068
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3069
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3069
	TaxCalculationBasis <TaxClctnBsis>	[0..1]			3069
{Or	Basis <Bsis>	[1..1]	CodeSet		3069
Or}	Proprietary <Prtry>	[1..1]	±		3070
	TaxableAmount <TaxblAmt>	[0..1]	Amount	C2	3070

76.1.50.11 Tax7

Definition: Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]		C21	3132
	Structured <Strd>	[1..1]	CodeSet		3133
	AdditionalInformation <AddtlInf>	[0..1]	Text		3134
	Amount <Amt>	[1..1]	Amount	C2	3134
	Rate <Rate>	[0..1]	Rate		3134
	RecipientIdentification <RcptId>	[0..1]	±		3135
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3135
	ExemptionReason <XmptnRsn>	[0..1]		C22	3135
	Structured <Strd>	[1..1]	CodeSet		3135
	AdditionalInformation <AddtlInf>	[0..1]	Text		3138
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3138
	Basis <Bsis>	[0..1]		C18	3139
	Structured <Strd>	[1..1]	CodeSet		3139
	AdditionalInformation <AddtlInf>	[0..1]	Text		3139
	EUCapitalGain <EUCptlGn>	[0..1]		C23	3140
	Structured <Strd>	[1..1]	CodeSet		3140
	AdditionalInformation <AddtlInf>	[0..1]	Text		3140
	TaxableAmount <TaxblAmt>	[0..1]	Amount	C2	3140

76.1.50.11.1 Type <Tp>

Presence: [1..1]

Definition: Type of tax applied.

Impacted by: C21 OtherCodeRule

Type <Tp> contains the following **TaxType2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		3133
	AdditionalInformation <AddtlInf>	[0..1]	Text		3134

Constraints

- **OtherCodeRule**
(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

76.1.50.11.1.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: [TaxType5Code on page 3375](#)

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.

CodeName	Name	Definition
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.
OTHR	Other	Another type of tax.

76.1.50.11.1.2 AdditionalInformation <AddtInf>

Presence: [0..1]

Definition: Additional information about the type of tax.

Datatype: Max350Text on page 3409

76.1.50.11.2 Amount <Amt>

Presence: [1..1]

Definition: Amount of money resulting from the calculation of the tax.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.50.11.3 Rate <Rate>

Presence: [0..1]

Definition: Rate used to calculate the tax.

Datatype: [PercentageRate](#) on page 3406

76.1.50.11.4 RecipientIdentification <Rcptld>

Presence: [0..1]

Definition: Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

RecipientIdentification <Rcptld> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <Prtryld>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.50.11.5 ExemptionIndicator <XmptnInd>

Presence: [1..1]

Definition: Indicates whether a tax exemption applies.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.50.11.6 ExemptionReason <XmptnRsn>

Presence: [0..1]

Definition: Reason for a tax exemption.

Impacted by: [C22 OtherCodeRule](#)

ExemptionReason <XmptnRsn> contains the following **TaxExemptionReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		3135
	AdditionalInformation <AddtlInf>	[0..1]	Text		3138

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

76.1.50.11.6.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: TaxExemptReason2Code on page 3364

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsuranceISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).

CodeName	Name	Definition
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).

CodeName	Name	Definition
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA (required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).
OTHR	Other	Another type of tax exemption.

76.1.50.11.6.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the type of tax.

Datatype: Max350Text on page 3409

76.1.50.11.7 TaxCalculationDetails <TaxClctnDtls>

Presence: [0..1]

Definition: Information used to calculate the tax.

TaxCalculationDetails <TaxClctnDtls> contains the following **TaxCalculationInformation3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[0..1]		C18	3139
	Structured <Strd>	[1..1]	CodeSet		3139
	AdditionalInformation <AddtlInf>	[0..1]	Text		3139
	EUCapitalGain <EUCptlGn>	[0..1]		C23	3140
	Structured <Strd>	[1..1]	CodeSet		3140
	AdditionalInformation <AddtlInf>	[0..1]	Text		3140
	TaxableAmount <TaxblAmt>	[0..1]	Amount	C2	3140

76.1.50.11.7.1 Basis <Bsis>

Presence: [0..1]

Definition: Basis used to determine the capital gain or loss, eg, the purchase price.

Impacted by: [C18 OtherCodeRule](#)

Basis <Bsis> contains the following **TaxationBasis1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		3139
	AdditionalInformation <AddtlInf>	[0..1]	Text		3139

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

76.1.50.11.7.1.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: [TaxationBasis3Code](#) on page 3360

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.
OTHR	Other	Another type of taxation basis.

76.1.50.11.7.1.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the type of taxation basis.

Datatype: [Max350Text on page 3409](#)

76.1.50.11.7.2 EUCapitalGain <EUCptlGn>

Presence: [0..1]

Definition: Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Impacted by: [C23 OtherCodeRule](#)

EUCapitalGain <EUCptlGn> contains the following **EUCapitalGain1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		3140
	AdditionalInformation <AddtlInf>	[0..1]	Text		3140

Constraints

- **OtherCodeRule**

(Rule)

If Structured is OTHR, then AdditionalInformation is mandatory.

76.1.50.11.7.2.1 Structured <Strd>

Presence: [1..1]

Definition: Structured format.

Datatype: [EUCapitalGain1Code on page 3275](#)

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.
OTHR	Other	Another type of EU capital gain.

76.1.50.11.7.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the type of tax.

Datatype: [Max350Text on page 3409](#)

76.1.50.11.7.3 TaxableAmount <TaxblAmt>

Presence: [0..1]

Definition: Amount of money that it is to be taxed.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyAnd13DecimalAmount on page 3237](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.50.12 Tax19

Definition: Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[1..1]			3141
{Or	Type <Tp>	[1..1]	CodeSet		3142
Or}	Proprietary <Prtry>	[1..1]	±		3143
	Amount <Amt>	[1..1]	Amount	C2	3143
	Rate <Rate>	[0..1]	Rate		3144
	Country <Ctry>	[0..1]	CodeSet	C11	3144
	EUDividendStatusType <EUDvddStsTp>	[0..1]	±		3144
	EUCapitalGainType <EUCptlGnTp>	[0..1]			3145
{Or	EUCapitalGain <EUCptlGn>	[1..1]	CodeSet		3145
Or}	Proprietary <Prtry>	[1..1]	±		3145
	RecipientIdentification <Rcptld>	[0..1]	±		3145
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3146
	ExemptionReasonType <XmptnRsnTp>	[0..1]			3146
{Or	ExemptionReason <XmptnRsn>	[1..1]	CodeSet		3146
Or}	Proprietary <Prtry>	[1..1]	±		3149

76.1.50.12.1 TaxType <TaxTp>

Presence: [1..1]

Definition: Type of tax.

TaxType <TaxTp> contains one of the following **TaxDetailsType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		3142
Or}	Proprietary <Prtry>	[1..1]	±		3143

76.1.50.12.1.1 Type <Tp>

Presence: [1..1]

Definition: Type of tax applied.

Datatype: TaxType11Code on page 3371

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.

CodeName	Name	Definition
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

76.1.50.12.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of tax applied.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13 on page 2020](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.50.12.2 Amount <Amt>

Presence: [1..1]

Definition: Amount of money resulting from the calculation of the tax.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**
(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.50.12.3 Rate <Rate>

Presence: [0..1]

Definition: Rate used to calculate the tax.

Datatype: PercentageRate on page 3406

76.1.50.12.4 Country <Ctry>

Presence: [0..1]

Definition: Country where the tax is due.

Impacted by: C11 Country

Datatype: CountryCode on page 3267

Constraints

- **Country**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.1.50.12.5 EUDividendStatusType <EUDvddStsTp>

Presence: [0..1]

Definition: EU dividend status.

EUDividendStatusType <EUDvddStsTp> contains one of the following elements (see EUDividendStatusType1Choice on page 3225 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUDividendStatus <EUDvddSts>	[1..1]	CodeSet		3226
Or}	Proprietary <Prtry>	[1..1]	±		3226

76.1.50.12.6 EUCapitalGainType <EUCptlGnTp>

Presence: [0..1]

Definition: EU capital gain.

EUCapitalGainType <EUCptlGnTp> contains one of the following **EUCapitalGainType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUCapitalGain <EUCptlGn>	[1..1]	CodeSet		3145
Or}	Proprietary <Prtry>	[1..1]	±		3145

76.1.50.12.6.1 EUCapitalGain <EUCptlGn>

Presence: [1..1]

Definition: Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Datatype: [EUCapitalGain2Code](#) on page 3275

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

76.1.50.12.6.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13](#) on page 2020 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.50.12.7 RecipientIdentification <Rcptld>

Presence: [0..1]

Definition: Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

RecipientIdentification <RcptId> contains one of the following elements (see [PartyIdentification2Choice](#) on page 2493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI/>	[1..1]	IdentifierSet	C7	2493
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2493
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2494

76.1.50.12.8 ExemptionIndicator <XmptnInd>

Presence: [1..1]

Definition: Indicates whether a tax exemption applies.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.50.12.9 ExemptionReasonType <XmptnRsnTp>

Presence: [0..1]

Definition: Reason for the exemption.

ExemptionReasonType <XmptnRsnTp> contains one of the following **ExemptionReasonType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ExemptionReason <XmptnRsn>	[1..1]	CodeSet		3146
Or}	Proprietary <Prtry>	[1..1]	±		3149

76.1.50.12.9.1 ExemptionReason <XmptnRsn>

Presence: [1..1]

Definition: Reason for a tax exemption.

Datatype: [TaxExemptReason1Code](#) on page 3362

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash,

CodeName	Name	Definition
		stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsuranceISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).

CodeName	Name	Definition
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA (required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is

CodeName	Name	Definition
		a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

76.1.50.12.9.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Reason for a tax exemption.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13 on page 2020](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.51 Transaction Type

76.1.51.1 SettlementTransactionCondition30Choice

Definition: Choice of format for the settlement transaction conditions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3149
Or}	Proprietary <Prtry>	[1..1]	±		3150

76.1.51.1.1 Code <Cd>

Presence: [1..1]

Definition: Settlement condition expressed as a code.

Datatype: [SettlementTransactionCondition11Code on page 3356](#)

CodeName	Name	Definition
NOMC	NoAutomaticMarketClaim	No market claim should be automatically generated.

76.1.51.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Settlement condition expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 2012 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.51.2 TradeTransactionCondition8Choice

Definition: Choice of format for the trade transaction conditions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3150
Or}	Proprietary <Prtry>	[1..1]	±		3150

76.1.51.2.1 Code <Cd>

Presence: [1..1]

Definition: Trade condition expressed as a code.

Datatype: [TradeTransactionCondition5Code](#) on page 3377

CodeName	Name	Definition
XCPN	ExCoupon	Indicates whether the trade is executed ex coupon.
CCPN	CumCoupon	Indicates whether the trade is executed cum coupon.

76.1.51.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Trade condition expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 2012 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.52 Transfer

76.1.52.1 Transfer36

Definition: Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferReference <TrfRef>	[1..1]	Text		3152
	ClientReference <ClntRef>	[0..1]	±		3152
	CounterpartyReference <CtrPtyRef>	[0..1]	±		3152
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		3152
	RequestedTransferDate <ReqdTrfDt>	[0..1]	±		3153
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		3153
	TransferOrderDateForm <TrfOrdrDtForm>	[0..1]	Date		3153
	TransferReason <TrfRsn>	[0..1]	±		3153
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		3153
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C16	3154
	Quantity <Qty>	[1..1]	±		3154
	UnitsDetails <UnitsDtls>	[0..*]	±		3155
	Rounding <Rndg>	[0..1]	CodeSet		3156
	OriginalCost <OrgnlCost>	[0..1]	Amount	C2	3156
	AveragePrice <AvrgPric>	[0..1]	Amount	C3	3156
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	3157
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		3157
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		3157
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		3157

Constraints

- **TotalUnitsNumberRule**

(Rule)

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

76.1.52.1.1 TransferReference <TrfRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the transfer instruction, as assigned by the instructing party.

Datatype: Max35Text on page 3409

76.1.52.1.2 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <CIntRef> contains the following elements (see AdditionalReference10 on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

76.1.52.1.3 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

Definition: Unambiguous identification of the transfer allocated by the counterparty.

CounterpartyReference <CtrPtyRef> contains the following elements (see AdditionalReference10 on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

76.1.52.1.4 BusinessFlowType <BizFlowTp>

Presence: [0..1]

Definition: Identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process).

Datatype: BusinessFlowType1Code on page 3250

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

76.1.52.1.5 RequestedTransferDate <ReqdTrfDt>

Presence: [0..1]

Definition: Date for which the instructing party requests the transfer.

RequestedTransferDate <ReqdTrfDt> contains one of the following elements (see [DateFormat1Choice](#) on page 1707 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1708
Or	Code <Cd>	[1..1]	CodeSet		1708
Or}	DateTime <DtTm>	[1..1]	DateTime		1708

76.1.52.1.6 RequestedSettlementDate <ReqdSttlmDt>

Presence: [0..1]

Definition: Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: [ISODate](#) on page 3391

76.1.52.1.7 TransferOrderDateForm <TrfOrdrDtForm>

Presence: [0..1]

Definition: Date on which the investor signed the transfer order form.

Datatype: [ISODate](#) on page 3391

76.1.52.1.8 TransferReason <TrfRsn>

Presence: [0..1]

Definition: Reason for the transfer.

TransferReason <TrfRsn> contains one of the following elements (see [TransferReason1Choice](#) on page 3226 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3226
Or}	Proprietary <Prtry>	[1..1]	±		3227

76.1.52.1.9 HoldingsPlanType <HldgsPlanTp>

Presence: [0..3]

Definition: Specifies information about investment plans included in the holding.

Datatype: [HoldingsPlanType1Code](#) on page 3293

CodeName	Name	Definition
INVP	InvestmentPlan	Holding to be transferred belongs to an investment plan.
SWIP	SwitchPlan	Holding to be transferred belongs to a switch plan.
PLAR	WithdrawalPlan	Holding to be transferred belongs to a withdrawal plan.

76.1.52.1.10 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Information related to the financial instrument to be transferred.

Impacted by: [C16 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument88](#) on page 1874 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1875
	Name <Nm>	[0..1]	Text		1876
	ShortName <ShrtNm>	[0..1]	Text		1876
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1876
	ClassType <ClsTp>	[0..1]	Text		1877
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1877
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1877
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1877

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.52.1.11 Quantity <Qty>

Presence: [1..1]

Definition: Total quantity of securities to be transferred, expressed as a number of units or a percentage rate.

Quantity <Qty> contains one of the following elements (see [Quantity42Choice](#) on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		1954
Or}	TransferRate <TrfRate>	[1..1]	Rate		1954

76.1.52.1.12 UnitsDetails <UnitsDtls>

Presence: [0..*]

Definition: Breakdown of units to be transferred.

UnitsDetails <UnitsDtls> contains the following elements (see [Unit12](#) on page 1934 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1935
	OrderDate <OrdrDt>	[0..1]	Date		1935
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1935
	CertificateNumber <CertNb>	[0..*]	Text		1936
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1936
	Reference <Ref>	[0..1]	Text		1936
	PriceDetails <PricDtls>	[0..1]	±		1936
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C28	1937
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1938
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1939
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1939
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1940
	IndividualFee <IndvFee>	[0..*]	±	C6	1940
	IndividualTax <IndvTax>	[0..*]	±		1942
	OtherAmount <OthrAmt>	[0..*]			1942
	Type <Tp>	[1..1]			1942
{Or	Code <Cd>	[1..1]	CodeSet		1943
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1943
	Amount <Amt>	[1..1]	Amount	C2, C10	1943

76.1.52.1.13 Rounding <Rndg>

Presence: [0..1]

Definition: Rounding direction applied to nearest unit.

Datatype: [RoundingDirection2Code on page 3347](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

76.1.52.1.14 OriginalCost <OrgnlCost>

Presence: [0..1]

Definition: Original amount paid for the asset at the point of purchase. May also be known as the book cost.

Impacted by: [C2 ActiveCurrency](#)

Datatype: [ActiveCurrencyAnd13DecimalAmount on page 3237](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.52.1.15 AveragePrice <AvrgPric>

Presence: [0..1]

Definition: Value of the security, as booked in the account. Book value is often different from the current market value of the security.

Impacted by: [C3 ActiveOrHistoricCurrency](#)

Datatype: [ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239](#)

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.52.1.16 TransferCurrency <TrfCcy>

Presence: [0..1]

Definition: Currency to be used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.52.1.17 OwnAccountTransferIndicator <OwnAcctTrfInd>

Presence: [0..1]

Definition: Indicates whether the transfer results in a change of beneficial owner.

Datatype: One of the following values must be used (see YesNoIndicator on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.52.1.18 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

Definition: Additional specific settlement information for the fund.

Datatype: Max350Text on page 3409

76.1.52.1.19 TransferExpensesPaymentType <TrfExpnssPmtTp>

Presence: [0..1]

Definition: Specifies how the payment of fees and taxes as a result of the transfer is covered, that is, whether by cash or the redemption of units.

TransferExpensesPaymentType <TrfExpnssPmtTp> contains one of the following elements (see [ChargePaymentMethod1Choice](#) on page 1794 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1795
Or}	Proprietary <Prtry>	[1..1]	±		1795

76.1.52.2 FundSettlementParameters18

Definition: Parameters applied to the settlement of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		3158
	TradeTransactionCondition <TradTxCond>	[0..*]	±		3159
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		3159
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		3159
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3160

76.1.52.2.1 SafekeepingPlace <SfkpgPlc>

Presence: [0..1]

Definition: Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository or an International Central Securities Depository.

SafekeepingPlace <SfkpgPlc> contains one of the following elements (see [SafekeepingPlaceFormat28Choice on page 2900](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2901
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2901
	Identification <Id>	[0..1]	Text		2901
Or	Country <Ctry>	[1..1]	CodeSet	C11	2901
Or	TypeAndIdentification <TpAndId>	[1..1]			2902
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2902
	Identification <Id>	[1..1]	IdentifierSet	C1	2902
Or}	Proprietary <Prtry>	[1..1]	±		2903

76.1.52.2.2 TradeTransactionCondition <TradTxCond>

Presence: [0..*]

Definition: Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

TradeTransactionCondition <TradTxCond> contains one of the following elements (see [TradeTransactionCondition8Choice on page 3150](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3150
Or}	Proprietary <Prtry>	[1..1]	±		3150

76.1.52.2.3 SettlementTransactionCondition <SttlmTxCond>

Presence: [0..*]

Definition: Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

SettlementTransactionCondition <SttlmTxCond> contains one of the following elements (see [SettlementTransactionCondition30Choice on page 3149](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3149
Or}	Proprietary <Prtry>	[1..1]	±		3150

76.1.52.2.4 SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>

Presence: [0..1]

Definition: Identification of a specific system or set of rules and/or processes to be applied at the settlement place.

Datatype: Max35Text on page 3409

76.1.52.2.5 ReceivingSideDetails <RcvgSdDtIs>

Presence: [0..1]

Definition: Chain of receiving settlement parties.

Impacted by: C7 BookTransferGuideline, C11 DepositoryGuideline, C19 Party2PresenceRule, C20 Party3PresenceRule, C21 Party4PresenceRule, C22 Party5PresenceRule, C26 SettlementChainGuideline

ReceivingSideDetails <RcvgSdDtIs> contains the following elements (see SettlementParties94 on page 2914 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		2917
	Party1 <Pty1>	[0..1]	±		2917
	Party2 <Pty2>	[0..1]	±		2918
	Party3 <Pty3>	[0..1]	±		2918
	Party4 <Pty4>	[0..1]	±		2918
	Party5 <Pty5>	[0..1]	±		2919

Constraints

- **BookTransferGuideline**

(Rule)

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on www.smpg.info.

- **DepositoryGuideline**

(Rule)

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on www.smpg.info.

- **Party2PresenceRule**

(Rule)

If Party2 is present, then Party1 must be present.

On Condition
 /Party2 is present
Following Must be True
 /Party1 Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00128
- *Error Text:* Party1 must be present.

• **Party3PresenceRule**

(Rule)

If Party3 is present, then Party2 must be present.

On Condition
 /Party3 is present
Following Must be True
 /Party2 Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00129
- *Error Text:* Party2 must be present.

• **Party4PresenceRule**

(Rule)

If Party4 is present, then Party3 must be present.

On Condition
 /Party4 is present
Following Must be True
 /Party3 Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00130
- *Error Text:* Party3 must be present.

• **Party5PresenceRule**

(Rule)

If Party5 is present, then Party4 must be present.

On Condition
 /Party5 is present
Following Must be True
 /Party4 Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00131

– *Error Text:* Party4 must be present.

• **SettlementChainGuideline**

(Rule)

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on www.smpg.info.

76.1.52.3 FundSettlementParameters17

Definition: Parameters applied to the settlement of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		3162
	TradeTransactionCondition <TradTxCond>	[0..*]	±		3163
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		3163
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		3163
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3164
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3166

76.1.52.3.1 SafekeepingPlace <SfkpgPlc>

Presence: [0..1]

Definition: Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository or an International Central Securities Depository.

SafekeepingPlace <SfkpgPlc> contains one of the following elements (see [SafekeepingPlaceFormat28Choice on page 2900](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2901
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2901
	Identification <Id>	[0..1]	Text		2901
Or	Country <Ctry>	[1..1]	CodeSet	C11	2901
Or	TypeAndIdentification <TpAndId>	[1..1]			2902
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2902
	Identification <Id>	[1..1]	IdentifierSet	C1	2902
Or}	Proprietary <Prtry>	[1..1]	±		2903

76.1.52.3.2 TradeTransactionCondition <TradTxCond>

Presence: [0..*]

Definition: Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

TradeTransactionCondition <TradTxCond> contains one of the following elements (see [TradeTransactionCondition8Choice on page 3150](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3150
Or}	Proprietary <Prtry>	[1..1]	±		3150

76.1.52.3.3 SettlementTransactionCondition <SttlmTxCond>

Presence: [0..*]

Definition: Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

SettlementTransactionCondition <SttlmTxCond> contains one of the following elements (see [SettlementTransactionCondition30Choice on page 3149](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3149
Or}	Proprietary <Prtry>	[1..1]	±		3150

76.1.52.3.4 SecuritiesSettlementSystemIdentification <SciesSttlmSysId>

Presence: [0..1]

Definition: Identification of a specific system or set of rules and/or processes to be applied at the settlement place.

Datatype: Max35Text on page 3409

76.1.52.3.5 ReceivingSideDetails <RcvgSdDtIs>

Presence: [0..1]

Definition: Chain of receiving settlement parties.

Impacted by: C7 BookTransferGuideline, C11 DepositoryGuideline, C19 Party2PresenceRule, C20 Party3PresenceRule, C21 Party4PresenceRule, C22 Party5PresenceRule, C26 SettlementChainGuideline

ReceivingSideDetails <RcvgSdDtIs> contains the following elements (see SettlementParties94 on page 2914 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		2917
	Party1 <Pty1>	[0..1]	±		2917
	Party2 <Pty2>	[0..1]	±		2918
	Party3 <Pty3>	[0..1]	±		2918
	Party4 <Pty4>	[0..1]	±		2918
	Party5 <Pty5>	[0..1]	±		2919

Constraints

- **BookTransferGuideline**

(Rule)

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on www.smpg.info.

- **DepositoryGuideline**

(Rule)

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on www.smpg.info.

- **Party2PresenceRule**

(Rule)

If Party2 is present, then Party1 must be present.

On Condition
 /Party2 is present
Following Must be True
 /Party1 Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00128
- *Error Text:* Party1 must be present.

• **Party3PresenceRule**

(Rule)

If Party3 is present, then Party2 must be present.

On Condition
 /Party3 is present
Following Must be True
 /Party2 Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00129
- *Error Text:* Party2 must be present.

• **Party4PresenceRule**

(Rule)

If Party4 is present, then Party3 must be present.

On Condition
 /Party4 is present
Following Must be True
 /Party3 Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00130
- *Error Text:* Party3 must be present.

• **Party5PresenceRule**

(Rule)

If Party5 is present, then Party4 must be present.

On Condition
 /Party5 is present
Following Must be True
 /Party4 Must be present

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00131

– *Error Text:* Party4 must be present.

- **SettlementChainGuideline**

(Rule)

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on www.smpg.info.

76.1.52.3.6 DeliveringSideDetails <DlvrgSdDtIs>

Presence: [0..1]

Definition: Chain of delivering settlement parties.

Impacted by: [C7 BookTransferGuideline](#), [C11 DepositoryGuideline](#), [C19 Party2PresenceRule](#), [C20 Party3PresenceRule](#), [C21 Party4PresenceRule](#), [C22 Party5PresenceRule](#), [C26 SettlementChainGuideline](#)

DeliveringSideDetails <DlvrgSdDtIs> contains the following elements (see [SettlementParties94](#) on page 2914 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		2917
	Party1 <Pty1>	[0..1]	±		2917
	Party2 <Pty2>	[0..1]	±		2918
	Party3 <Pty3>	[0..1]	±		2918
	Party4 <Pty4>	[0..1]	±		2918
	Party5 <Pty5>	[0..1]	±		2919

Constraints

- **BookTransferGuideline**

(Rule)

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on www.smpg.info.

- **DepositoryGuideline**

(Rule)

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on www.smpg.info.

- **Party2PresenceRule**

(Rule)

If Party2 is present, then Party1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00128
- *Error Text:* Party1 must be present.

- **Party3PresenceRule**

(Rule)

If Party3 is present, then Party2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00129
- *Error Text:* Party2 must be present.

- **Party4PresenceRule**

(Rule)

If Party4 is present, then Party3 must be present.

```
On Condition
  /Party4 is present
Following Must be True
  /Party3 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00130
- *Error Text:* Party3 must be present.

• **Party5PresenceRule**

(Rule)

If Party5 is present, then Party4 must be present.

```
On Condition
  /Party5 is present
Following Must be True
  /Party4 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00131
- *Error Text:* Party4 must be present.

• **SettlementChainGuideline**

(Rule)

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on www.smpg.info.

76.1.52.4 FundSettlementParameters16

Definition: Parameters applied to the settlement of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		3169
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		3169
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		3169
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3169

76.1.52.4.1 TradeTransactionCondition <TradTxCond>

Presence: [0..*]

Definition: Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

TradeTransactionCondition <TradTxCond> contains one of the following elements (see [TradeTransactionCondition8Choice](#) on page 3150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3150
Or}	Proprietary <Prtry>	[1..1]	±		3150

76.1.52.4.2 SettlementTransactionCondition <SttlmTxCond>

Presence: [0..*]

Definition: Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

SettlementTransactionCondition <SttlmTxCond> contains one of the following elements (see [SettlementTransactionCondition30Choice](#) on page 3149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3149
Or}	Proprietary <Prtry>	[1..1]	±		3150

76.1.52.4.3 SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>

Presence: [0..1]

Definition: Identification of a specific system or set of rules and/or processes to be applied at the settlement place.

Datatype: [Max35Text](#) on page 3409

76.1.52.4.4 ReceivingSideDetails <RcvgSdDtls>

Presence: [0..1]

Definition: Chain of receiving settlement parties.

Impacted by: [C7 BookTransferGuideline](#), [C11 DepositoryGuideline](#), [C19 Party2PresenceRule](#) ____,
[C20 Party3PresenceRule](#) ____, [C21 Party4PresenceRule](#) ____, [C22 Party5PresenceRule](#) ____,
[C26 SettlementChainGuideline](#)

ReceivingSideDetails <RcvgSdDtls> contains the following elements (see [SettlementParties94](#) on page 2914 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		2917
	Party1 <Pty1>	[0..1]	±		2917
	Party2 <Pty2>	[0..1]	±		2918
	Party3 <Pty3>	[0..1]	±		2918
	Party4 <Pty4>	[0..1]	±		2918
	Party5 <Pty5>	[0..1]	±		2919

Constraints

- **BookTransferGuideline**

(Rule)

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on www.smpg.info.

- **DepositoryGuideline**

(Rule)

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on www.smpg.info.

- **Party2PresenceRule**

(Rule)

If Party2 is present, then Party1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00128
- *Error Text:* Party1 must be present.

- **Party3PresenceRule**

(Rule)

If Party3 is present, then Party2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00129
- *Error Text:* Party2 must be present.

- **Party4PresenceRule**

(Rule)

If Party4 is present, then Party3 must be present.

```
On Condition
  /Party4 is present
Following Must be True
  /Party3 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00130
- *Error Text:* Party3 must be present.

- **Party5PresenceRule**

(Rule)

If Party5 is present, then Party4 must be present.

```
On Condition
  /Party5 is present
Following Must be True
  /Party4 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00131
- *Error Text:* Party4 must be present.

- **SettlementChainGuideline**

(Rule)

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on www.smpg.info.

76.1.52.5 FundSettlementParameters15

Definition: Parameters applied to the settlement of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		3172
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		3172
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		3173
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3173

76.1.52.5.1 TradeTransactionCondition <TradTxCond>

Presence: [0..*]

Definition: Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

TradeTransactionCondition <TradTxCond> contains one of the following elements (see [TradeTransactionCondition8Choice](#) on page 3150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3150
Or}	Proprietary <Prtry>	[1..1]	±		3150

76.1.52.5.2 SettlementTransactionCondition <SttlmTxCond>

Presence: [0..*]

Definition: Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

SettlementTransactionCondition <SttlmTxCond> contains one of the following elements (see [SettlementTransactionCondition30Choice](#) on page 3149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3149
Or}	Proprietary <Prtry>	[1..1]	±		3150

76.1.52.5.3 SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>

Presence: [0..1]

Definition: Identification of a specific system or set of rules and/or processes to be applied at the settlement place.

Datatype: [Max35Text](#) on page 3409

76.1.52.5.4 DeliveringSideDetails <DlvrgSdDtIs>

Presence: [0..1]

Definition: Chain of delivering settlement parties.

Impacted by: [C7 BookTransferGuideline](#), [C11 DepositoryGuideline](#), [C19 Party2PresenceRule](#), [C20 Party3PresenceRule](#), [C21 Party4PresenceRule](#), [C22 Party5PresenceRule](#), [C26 SettlementChainGuideline](#)

DeliveringSideDetails <DlvrgSdDtIs> contains the following elements (see [SettlementParties94](#) on page 2914 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		2917
	Party1 <Pty1>	[0..1]	±		2917
	Party2 <Pty2>	[0..1]	±		2918
	Party3 <Pty3>	[0..1]	±		2918
	Party4 <Pty4>	[0..1]	±		2918
	Party5 <Pty5>	[0..1]	±		2919

Constraints

- **BookTransferGuideline**

(Rule)

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on www.smpg.info.

- **DepositoryGuideline**

(Rule)

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on www.smpg.info.

- **Party2PresenceRule**

(Rule)

If Party2 is present, then Party1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00128
- *Error Text:* Party1 must be present.

- **Party3PresenceRule**

(Rule)

If Party3 is present, then Party2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00129
- *Error Text:* Party2 must be present.

- **Party4PresenceRule**

(Rule)

If Party4 is present, then Party3 must be present.

```
On Condition
  /Party4 is present
Following Must be True
  /Party3 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00130
- *Error Text:* Party3 must be present.

- **Party5PresenceRule**

(Rule)

If Party5 is present, then Party4 must be present.

```
On Condition
  /Party5 is present
Following Must be True
  /Party4 Must be present
```

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00131
- *Error Text:* Party4 must be present.

- **SettlementChainGuideline**

(Rule)

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on www.smpg.info.

76.1.52.6 TransferType2Choice

Definition: Choice of formats for a transfer type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3176
Or}	Proprietary <Prtry>	[1..1]	±		3176

Constraints

- **SECUGuideline**

(Rule)

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.52.6.1 Code <Cd>

Presence: [1..1]

Definition: Transfer type expressed as a code.

Datatype: [TransferType4Code on page 3381](#)

CodeName	Name	Definition
CASH	Cash	Transfer as cash.
CONV	Conversion	ISIN is converted to another ISIN and then transferred.
EXCL	Excluded	Asset excluded from transfer.
SECU	InSpecie	Transfer the security as an asset in specie, that is, 'in its actual form'.

76.1.52.6.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Transfer type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.52.7 DeliverInformation20

Definition: Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferor <Trfr>	[0..1]	±		3178
	TransferorRegisteredAccount <TrfrRegdAcct>	[0..1]	±		3178
	IntermediaryInformation <IntrmyInf>	[0..*]	±		3178
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		3179
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		3179
	IncomePreference <IncmPref>	[0..1]	CodeSet		3179
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		3180
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		3180
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		3180
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		3180
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	3180
	StampDuty <StmpDty>	[0..1]	CodeSet		3181
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	3181
	Fees <Fees>	[0..*]	±	C15	3182
	IndividualTax <IndvTax>	[0..*]	±		3183
	ForeignExchangeDetails <FXDtls>	[0..*]	±		3184
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		3185
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		3185
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	3186
	ClientReference <ClntRef>	[0..1]	±		3186

Constraints

- **PhysicalTransferDetails1Rule**

(Rule)

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00450

– *Error Text:* PhysicalTransferDetails must be present.

• **PhysicalTransferDetails2Rule**

(Rule)

If PhysicalTransfer is DEMENT (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00425

– *Error Text:* PhysicalTransferDetails is not allowed.

76.1.52.7.1 Transferor <Trfr>

Presence: [0..1]

Definition: Party that delivers (transferor) securities to the receiving agent (transferee).

Transferor <Trfr> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.52.7.2 TransferorRegisteredAccount <TrfrRegdAcct>

Presence: [0..1]

Definition: Account from which the securities are to be delivered.

TransferorRegisteredAccount <TrfrRegdAcct> contains the following elements (see [Account31](#) on page 2064 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2064
	AccountName <AcctNm>	[0..1]	Text		2064
	Designation <Dsgnt>	[0..1]	Text		2064
	Servicer <Svcr>	[0..1]	±		2064
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2065

76.1.52.7.3 IntermediaryInformation <IntrmyInf>

Presence: [0..*]

Definition: Identification of a related party or intermediary.

IntermediaryInformation <IntrmyInf> contains the following elements (see [Intermediary43](#) on page 2610 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2610
	Account <Acct>	[0..1]			2611
	Identification <Id>	[0..1]	Text		2611
	AccountServicer <AcctSvcr>	[1..1]	±		2611
	Role <Role>	[0..1]	±		2611
	ContactPerson <CtctPrsn>	[0..1]	±		2612

76.1.52.7.4 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, that is, ownership, of the security, that is, registered or bearer.

Datatype: [FormOfSecurity1Code](#) on page 3281

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.52.7.5 DematerialisedIndicator <DmtrlSdInd>

Presence: [0..1]

Definition: Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.52.7.6 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference2Code](#) on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

76.1.52.7.7 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

Presence: [0..1]

Definition: Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

Datatype: [BeneficiaryCertificationCompletion1Code](#) on page 3248

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

76.1.52.7.8 RequestedTradeDate <ReqdTradDt>

Presence: [0..1]

Definition: Date used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: [ISODate](#) on page 3391

76.1.52.7.9 RequestedSettlementDate <ReqdSttlmDt>

Presence: [0..1]

Definition: Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: [ISODate](#) on page 3391

76.1.52.7.10 EffectiveSettlementDate <FctvSttlmDt>

Presence: [0..1]

Definition: Date and time at which the securities were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

EffectiveSettlementDate <FctvSttlmDt> contains one of the following elements (see [DateAndDateTime2Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1826
Or}	DateTime <DtTm>	[1..1]	DateTime		1826

76.1.52.7.11 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid/to be paid or received in exchange for the financial instrument.

Impacted by: [C2 ActiveCurrency](#) ____, [C10 CurrencyAmount](#) ____

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.52.7.12 StampDuty <StmpDty>

Presence: [0..1]

Definition: Specifies if the settlement amount includes the stamp duty amount.

Datatype: StampDutyType2Code on page 3357

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

76.1.52.7.13 NetAmount <NetAmt>

Presence: [0..1]

Definition: Deal amount.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.52.7.14 Fees <Fees>

Presence: [0..*]

Definition: Fee related to the transfer of the financial instrument.

Impacted by: C15 FeeTaxElementRule

Fees <Fees> contains the following elements (see [Fees2](#) on page 1753 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1754
	IndividualFee <IndvFee>	[0..*]			1755
	Type <Tp>	[1..1]			1755
{Or	Code <Cd>	[1..1]	CodeSet		1755
Or}	Proprietary <Prtry>	[1..1]	±		1756
	Basis <Bsis>	[0..1]			1756
{Or	Code <Cd>	[1..1]	CodeSet		1756
Or}	Proprietary <Prtry>	[1..1]	±		1757
	Amount <Amt>	[1..1]	Amount	C2, C10	1757
	DiscountDetails <DscntDtls>	[0..1]		C13	1758
	Amount <Amt>	[0..1]	Amount	C2, C10	1758
	Rate <Rate>	[0..1]	Rate		1759
	Basis <Bsis>	[0..1]			1759
{Or	Code <Cd>	[1..1]	CodeSet		1759
Or}	Proprietary <Prtry>	[1..1]	±		1760
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1760
	RecipientIdentification <RcptId>	[0..1]	±		1760

Constraints

• **FeeTaxElementRule**

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

76.1.52.7.15 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Tax related to the transfer of a financial instrument.

IndividualTax <IndvTax> contains the following elements (see [Tax38](#) on page 3073 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3073
{Or	Code <Cd>	[1..1]	CodeSet		3074
Or}	Proprietary <Prtry>	[1..1]	±		3074
	Basis <Bsis>	[0..1]			3075
{Or	Code <Cd>	[1..1]	CodeSet		3075
Or}	Proprietary <Prtry>	[1..1]	±		3075
	Amount <Amt>	[1..1]	Amount	C2, C10	3075
	Country <Ctry>	[0..1]	CodeSet	C11	3076
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3077
	ExemptionReason <XmptnRsn>	[0..1]			3077
{Or	Code <Cd>	[1..1]	CodeSet		3077
Or}	Proprietary <Prtry>	[1..1]	±		3080
	RecipientIdentification <Rcptld>	[0..1]	±		3080
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3080
	Basis <Bsis>	[0..1]			3081
{Or	Code <Cd>	[1..1]	CodeSet		3081
Or}	Proprietary <Prtry>	[1..1]	±		3081
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3082

76.1.52.7.16 ForeignExchangeDetails <FXDtls>

Presence: [0..*]

Definition: Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms37](#) on page 1979 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1980
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1981
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1981
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1982
	ExchangeRate <XchgRate>	[1..1]	Rate		1982
	QuotationDate <QtnDt>	[0..1]	DateTime		1983
	QuotingInstitution <QtgInstn>	[0..1]	±		1983

76.1.52.7.17 SettlementPartiesDetails <SttlmPtiesDtIs>

Presence: [0..1]

Definition: Chain of parties involved in the settlement of the transaction.

SettlementPartiesDetails <SttlmPtiesDtIs> contains the following elements (see [FundSettlementParameters15](#) on page 3172 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		3172
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		3172
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		3173
	DeliveringSideDetails <DlvrngSdDtIs>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3173

76.1.52.7.18 PhysicalTransfer <PhysTrf>

Presence: [0..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: [PhysicalTransferType1Code](#) on page 3328

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.

CodeName	Name	Definition
PHYS	Physical	Physical transfer.

76.1.52.7.19 PhysicalTransferDetails <PhysTrfDtls>

Presence: [0..1]

Definition: Parameters of a physical delivery.

Impacted by: [C17 NameAndAddress1Rule](#)

PhysicalTransferDetails <PhysTrfDtls> contains the following elements (see [DeliveryParameters4](#) on page 2826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrlnd>	[1..1]	Indicator		2827
	NameAndAddress <NmAndAdr>	[0..1]	±		2827
	ContactPerson <CtctPrsn>	[0..1]	±		2827

Constraints

- **NameAndAddress1Rule**

(Rule)

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

76.1.52.7.20 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <ClntRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

76.1.52.8 DeliverInformation21

Definition: Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferor <Trfr>	[0..1]	±		3188
	TransferorRegisteredAccount <TrfrRegdAcct>	[0..1]	±		3188
	IntermediaryInformation <IntrmyInf>	[0..*]	±		3188
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		3189
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		3189
	IncomePreference <IncmPref>	[0..1]	CodeSet		3189
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		3190
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		3190
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		3190
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	3190
	StampDuty <StmpDty>	[0..1]	CodeSet		3191
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	3191
	Fees <Fees>	[0..*]	±	C15	3192
	IndividualTax <IndvTax>	[0..*]	±		3193
	ForeignExchangeDetails <FXDtls>	[0..*]	±		3193
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		3194
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		3195
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	3195
	ClientReference <ClntRef>	[0..1]	±		3196

Constraints

• **PhysicalTransferDetails1Rule**

(Rule)

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00450

– *Error Text:* PhysicalTransferDetails must be present.

• **PhysicalTransferDetails2Rule**

(Rule)

If PhysicalTransfer is DEMENT (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00451

– *Error Text:* PhysicalTransferDetails is not allowed.

76.1.52.8.1 Transferor <Trfr>

Presence: [0..1]

Definition: Party that delivers (transferor) securities to the receiving agent (transferee).

Transferor <Trfr> contains the following elements (see [PartyIdentification139](#) on page 2619 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.52.8.2 TransferorRegisteredAccount <TrfrRegdAcct>

Presence: [0..1]

Definition: Account from which the securities are to be delivered.

TransferorRegisteredAccount <TrfrRegdAcct> contains the following elements (see [Account31](#) on page 2064 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2064
	AccountName <AcctNm>	[0..1]	Text		2064
	Designation <Dsgnt>	[0..1]	Text		2064
	Servicer <Svcr>	[0..1]	±		2064
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2065

76.1.52.8.3 IntermediaryInformation <IntrmyInf>

Presence: [0..*]

Definition: Identification of a related party or intermediary.

IntermediaryInformation <IntrmyInf> contains the following elements (see [Intermediary43](#) on page 2610 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2610
	Account <Acct>	[0..1]			2611
	Identification <Id>	[0..1]	Text		2611
	AccountServicer <AcctSvcr>	[1..1]	±		2611
	Role <Role>	[0..1]	±		2611
	ContactPerson <CtctPrsn>	[0..1]	±		2612

76.1.52.8.4 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, that is, ownership, of the security, that is, registered or bearer.

Datatype: [FormOfSecurity1Code](#) on page 3281

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.52.8.5 DematerialisedIndicator <DmtrlsdInd>

Presence: [0..1]

Definition: Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.52.8.6 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference2Code](#) on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

76.1.52.8.7 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

Presence: [0..1]

Definition: Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

Datatype: [BeneficiaryCertificationCompletion1Code](#) on page 3248

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

76.1.52.8.8 RequestedTradeDate <ReqdTradDt>

Presence: [0..1]

Definition: Date to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: [ISODate](#) on page 3391

76.1.52.8.9 RequestedSettlementDate <ReqdSttlmDt>

Presence: [0..1]

Definition: Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: [ISODate](#) on page 3391

76.1.52.8.10 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid/to be paid or received in exchange for the financial instrument.

Impacted by: [C2 ActiveCurrency](#) __, [C10 CurrencyAmount](#) __

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

– *Error Text:* Invalid currency code or too many decimal digits.

76.1.52.8.11 StampDuty <StmpDty>

Presence: [0..1]

Definition: Specifies if the settlement amount includes the stamp duty amount.

Datatype: [StampDutyType2Code](#) on page 3357

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

76.1.52.8.12 NetAmount <NetAmt>

Presence: [0..1]

Definition: Deal amount.

Impacted by: [C2 ActiveCurrency](#)__, [C10 CurrencyAmount](#)__

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.52.8.13 Fees <Fees>

Presence: [0..*]

Definition: Fee related to the transfer of the financial instrument.

Impacted by: C15 FeeTaxElementRule

Fees <Fees> contains the following elements (see Fees2 on page 1753 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1754
	IndividualFee <IndvFee>	[0..*]			1755
	Type <Tp>	[1..1]			1755
{Or	Code <Cd>	[1..1]	CodeSet		1755
Or}	Proprietary <Prtry>	[1..1]	±		1756
	Basis <Bsis>	[0..1]			1756
{Or	Code <Cd>	[1..1]	CodeSet		1756
Or}	Proprietary <Prtry>	[1..1]	±		1757
	Amount <Amt>	[1..1]	Amount	C2, C10	1757
	DiscountDetails <DscntDtls>	[0..1]		C13	1758
	Amount <Amt>	[0..1]	Amount	C2, C10	1758
	Rate <Rate>	[0..1]	Rate		1759
	Basis <Bsis>	[0..1]			1759
{Or	Code <Cd>	[1..1]	CodeSet		1759
Or}	Proprietary <Prtry>	[1..1]	±		1760
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1760
	RecipientIdentification <RcptId>	[0..1]	±		1760

Constraints

- **FeeTaxElementRule**
(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

76.1.52.8.14 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Tax related to the transfer of the financial instrument.

IndividualTax <IndvTax> contains the following elements (see [Tax38](#) on page 3073 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3073
{Or	Code <Cd>	[1..1]	CodeSet		3074
Or}	Proprietary <Prtry>	[1..1]	±		3074
	Basis <Bsis>	[0..1]			3075
{Or	Code <Cd>	[1..1]	CodeSet		3075
Or}	Proprietary <Prtry>	[1..1]	±		3075
	Amount <Amt>	[1..1]	Amount	C2, C10	3075
	Country <Ctry>	[0..1]	CodeSet	C11	3076
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3077
	ExemptionReason <XmptnRsn>	[0..1]			3077
{Or	Code <Cd>	[1..1]	CodeSet		3077
Or}	Proprietary <Prtry>	[1..1]	±		3080
	RecipientIdentification <Rcptld>	[0..1]	±		3080
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3080
	Basis <Bsis>	[0..1]			3081
{Or	Code <Cd>	[1..1]	CodeSet		3081
Or}	Proprietary <Prtry>	[1..1]	±		3081
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3082

76.1.52.8.15 ForeignExchangeDetails <FXDtls>

Presence: [0..*]

Definition: Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms37](#) on page 1979 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1980
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1981
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1981
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1982
	ExchangeRate <XchgRate>	[1..1]	Rate		1982
	QuotationDate <QtnDt>	[0..1]	DateTime		1983
	QuotingInstitution <QtgInstn>	[0..1]	±		1983

76.1.52.8.16 SettlementPartiesDetails <SttlmPtiesDtIs>

Presence: [0..1]

Definition: Chain of parties involved in the settlement of a transaction.

SettlementPartiesDetails <SttlmPtiesDtls> contains the following elements (see [FundSettlementParameters15](#) on page 3172 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		3172
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		3172
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		3173
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3173

76.1.52.8.17 PhysicalTransfer <PhysTrf>

Presence: [0..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: [PhysicalTransferType1Code](#) on page 3328

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.
PHYS	Physical	Physical transfer.

76.1.52.8.18 PhysicalTransferDetails <PhysTrfDtls>

Presence: [0..1]

Definition: Parameters of a physical delivery.

Impacted by: [C17 NameAndAddress1Rule](#)

PhysicalTransferDetails <PhysTrfDtls> contains the following elements (see [DeliveryParameters4](#) on page 2826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrInd>	[1..1]	Indicator		2827
	NameAndAddress <NmAndAdr>	[0..1]	±		2827
	ContactPerson <CtctPrsn>	[0..1]	±		2827

Constraints

- **NameAndAddress1Rule**

(Rule)

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

76.1.52.8.19 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <CIntRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

76.1.52.9 ReceiveInformation20

Definition: Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferee <Trfee>	[0..1]	±		3198
	TransfereeRegisteredAccount <TrfeeRegdAcct>	[0..1]	±		3198
	IntermediaryInformation <IntrmyInf>	[0..*]	±		3198
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		3199
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		3199
	IncomePreference <IncmPref>	[0..1]	CodeSet		3199
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		3200
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		3200
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		3200
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		3200
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	3200
	StampDuty <StmpDty>	[0..1]	CodeSet		3201
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	3201
	Fees <Fees>	[0..*]	±	C15	3202
	IndividualTax <IndvTax>	[0..*]	±		3203
	ForeignExchangeDetails <FXDtls>	[0..*]	±		3204
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		3205
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		3205
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	3206
	ClientReference <ClntRef>	[0..1]	±		3206

Constraints

• **PhysicalTransferDetails1Rule**

(Rule)

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00450

- *Error Text:* PhysicalTransferDetails must be present.

• **PhysicalTransferDetails2Rule**

(Rule)

If PhysicalTransfer is DEMENT (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00425
- *Error Text:* PhysicalTransferDetails is not allowed.

76.1.52.9.1 Transferee <Trfee>

Presence: [0..1]

Definition: Party that receives (transferee) securities from the delivering agent (transferor).

Transferee <Trfee> contains the following elements (see [PartyIdentification139 on page 2619](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.52.9.2 TransfereeRegisteredAccount <TrfeeRegdAcct>

Presence: [0..1]

Definition: Account into which the securities are to be received.

TransfereeRegisteredAccount <TrfeeRegdAcct> contains the following elements (see [Account31 on page 2064](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2064
	AccountName <AcctNm>	[0..1]	Text		2064
	Designation <Dsgnt>	[0..1]	Text		2064
	Servicer <Svcr>	[0..1]	±		2064
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2065

76.1.52.9.3 IntermediaryInformation <IntrmyInf>

Presence: [0..*]

Definition: Identification of a related party or intermediary.

IntermediaryInformation <IntrmyInf> contains the following elements (see [Intermediary43](#) on page 2610 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2610
	Account <Acct>	[0..1]			2611
	Identification <Id>	[0..1]	Text		2611
	AccountServicer <AcctSvcr>	[1..1]	±		2611
	Role <Role>	[0..1]	±		2611
	ContactPerson <CtctPrsn>	[0..1]	±		2612

76.1.52.9.4 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, that is, ownership, of the security, that is, registered or bearer.

Datatype: [FormOfSecurity1Code](#) on page 3281

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.52.9.5 DematerialisedIndicator <DmtrlsdInd>

Presence: [0..1]

Definition: Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.52.9.6 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference2Code](#) on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

76.1.52.9.7 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

Presence: [0..1]

Definition: Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

Datatype: [BeneficiaryCertificationCompletion1Code](#) on page 3248

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

76.1.52.9.8 RequestedTradeDate <ReqdTradDt>

Presence: [0..1]

Definition: Date used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: [ISODate](#) on page 3391

76.1.52.9.9 RequestedSettlementDate <ReqdSttlmDt>

Presence: [0..1]

Definition: Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: [ISODate](#) on page 3391

76.1.52.9.10 EffectiveSettlementDate <FctvSttlmDt>

Presence: [0..1]

Definition: Date and time at which the securities were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

EffectiveSettlementDate <FctvSttlmDt> contains one of the following elements (see [DateAndDateTime2Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1826
Or}	DateTime <DtTm>	[1..1]	DateTime		1826

76.1.52.9.11 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid /to be paid or received in exchange for the financial instrument.

Impacted by: [C2 ActiveCurrency](#) ____, [C10 CurrencyAmount](#) ____

Datatype: [ActiveCurrencyAndAmount](#) on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.52.9.12 StampDuty <StmpDty>

Presence: [0..1]

Definition: Specifies if whether the settlement amount includes the stamp duty amount.

Datatype: StampDutyType2Code on page 3357

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

76.1.52.9.13 NetAmount <NetAmt>

Presence: [0..1]

Definition: Deal amount.

Impacted by: C2 ActiveCurrency, C10 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.52.9.14 Fees <Fees>

Presence: [0..*]

Definition: Fee related to the transfer of the financial instrument.

Impacted by: C15 FeeTaxElementRule

Fees <Fees> contains the following elements (see [Fees2](#) on page 1753 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1754
	IndividualFee <IndvFee>	[0..*]			1755
	Type <Tp>	[1..1]			1755
{Or	Code <Cd>	[1..1]	CodeSet		1755
Or}	Proprietary <Prtry>	[1..1]	±		1756
	Basis <Bsis>	[0..1]			1756
{Or	Code <Cd>	[1..1]	CodeSet		1756
Or}	Proprietary <Prtry>	[1..1]	±		1757
	Amount <Amt>	[1..1]	Amount	C2, C10	1757
	DiscountDetails <DscntDtls>	[0..1]		C13	1758
	Amount <Amt>	[0..1]	Amount	C2, C10	1758
	Rate <Rate>	[0..1]	Rate		1759
	Basis <Bsis>	[0..1]			1759
{Or	Code <Cd>	[1..1]	CodeSet		1759
Or}	Proprietary <Prtry>	[1..1]	±		1760
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1760
	RecipientIdentification <RcptId>	[0..1]	±		1760

Constraints

• **FeeTaxElementRule**

(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

76.1.52.9.15 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Tax related to the transfer of the financial instrument.

IndividualTax <IndvTax> contains the following elements (see [Tax38](#) on page 3073 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3073
{Or	Code <Cd>	[1..1]	CodeSet		3074
Or}	Proprietary <Prtry>	[1..1]	±		3074
	Basis <Bsis>	[0..1]			3075
{Or	Code <Cd>	[1..1]	CodeSet		3075
Or}	Proprietary <Prtry>	[1..1]	±		3075
	Amount <Amt>	[1..1]	Amount	C2, C10	3075
	Country <Ctry>	[0..1]	CodeSet	C11	3076
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3077
	ExemptionReason <XmptnRsn>	[0..1]			3077
{Or	Code <Cd>	[1..1]	CodeSet		3077
Or}	Proprietary <Prtry>	[1..1]	±		3080
	RecipientIdentification <Rcptld>	[0..1]	±		3080
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3080
	Basis <Bsis>	[0..1]			3081
{Or	Code <Cd>	[1..1]	CodeSet		3081
Or}	Proprietary <Prtry>	[1..1]	±		3081
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3082

76.1.52.9.16 ForeignExchangeDetails <FXDtls>

Presence: [0..*]

Definition: Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms37](#) on page 1979 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1980
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1981
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1981
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1982
	ExchangeRate <XchgRate>	[1..1]	Rate		1982
	QuotationDate <QtnDt>	[0..1]	DateTime		1983
	QuotingInstitution <QtgInstn>	[0..1]	±		1983

76.1.52.9.17 SettlementPartiesDetails <SttlmPtiesDtIs>

Presence: [0..1]

Definition: Chain of parties involved in the settlement of the transaction.

SettlementPartiesDetails <SttlmPtiesDtIs> contains the following elements (see [FundSettlementParameters16](#) on page 3168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		3169
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		3169
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		3169
	ReceivingSideDetails <RcvgSdDtIs>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3169

76.1.52.9.18 PhysicalTransfer <PhysTrf>

Presence: [0..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: [PhysicalTransferType1Code](#) on page 3328

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.

CodeName	Name	Definition
PHYS	Physical	Physical transfer.

76.1.52.9.19 PhysicalTransferDetails <PhysTrfDtls>

Presence: [0..1]

Definition: Parameters of a physical delivery.

Impacted by: [C17 NameAndAddress1Rule](#)

PhysicalTransferDetails <PhysTrfDtls> contains the following elements (see [DeliveryParameters4](#) on page 2826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrlnd>	[1..1]	Indicator		2827
	NameAndAddress <NmAndAdr>	[0..1]	±		2827
	ContactPerson <CtctPrsn>	[0..1]	±		2827

Constraints

- **NameAndAddress1Rule**

(Rule)

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

76.1.52.9.20 ClientReference <ClntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <ClntRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

76.1.52.10 ReceiveInformation21

Definition: Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferee <Trfee>	[0..1]	±		3208
	TransfereeRegisteredAccount <TrfeeRegdAcct>	[0..1]	±		3208
	IntermediaryInformation <IntrmyInf>	[0..*]	±		3208
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		3209
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		3209
	IncomePreference <IncmPref>	[0..1]	CodeSet		3209
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		3210
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		3210
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		3210
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	3210
	StampDuty <StmpDty>	[0..1]	CodeSet		3211
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	3211
	Fees <Fees>	[0..*]	±	C15	3212
	IndividualTax <IndvTax>	[0..*]	±		3213
	ForeignExchangeDetails <FXDtls>	[0..*]	±		3213
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		3214
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		3215
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	3215
	ClientReference <ClntRef>	[0..1]	±		3216

Constraints

- **PhysicalTransferDetails1Rule**

(Rule)

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

Error handling:

- Error severity: Fatal
- Error Code: X00450

– *Error Text:* PhysicalTransferDetails must be present.

• **PhysicalTransferDetails2Rule**

(Rule)

If PhysicalTransfer is DEMENT (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00451

– *Error Text:* PhysicalTransferDetails is not allowed.

76.1.52.10.1 Transferee <Trfee>

Presence: [0..1]

Definition: Party that receives (transferee) securities from the delivering agent (transferor).

Transferee <Trfee> contains the following elements (see [PartyIdentification139 on page 2619](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2619
	LEI <LEI>	[0..1]	IdentifierSet		2620

76.1.52.10.2 TransfereeRegisteredAccount <TrfeeRegdAcct>

Presence: [0..1]

Definition: Account into which the securities are to be received.

TransfereeRegisteredAccount <TrfeeRegdAcct> contains the following elements (see [Account31 on page 2064](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2064
	AccountName <AcctNm>	[0..1]	Text		2064
	Designation <Dsgnt>	[0..1]	Text		2064
	Servicer <Svcr>	[0..1]	±		2064
	SubAccountDetails <SubAcctDtls>	[0..1]	±		2065

76.1.52.10.3 IntermediaryInformation <IntrmyInf>

Presence: [0..*]

Definition: Identification of a related party or intermediary.

IntermediaryInformation <IntrmyInf> contains the following elements (see [Intermediary43](#) on page 2610 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2610
	Account <Acct>	[0..1]			2611
	Identification <Id>	[0..1]	Text		2611
	AccountServicer <AcctSvcr>	[1..1]	±		2611
	Role <Role>	[0..1]	±		2611
	ContactPerson <CtctPrsn>	[0..1]	±		2612

76.1.52.10.4 SecuritiesForm <SctiesForm>

Presence: [0..1]

Definition: Form, that is, ownership, of the security, that is, registered or bearer.

Datatype: [FormOfSecurity1Code](#) on page 3281

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.1.52.10.5 DematerialisedIndicator <DmtrlsdInd>

Presence: [0..1]

Definition: Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.52.10.6 IncomePreference <IncmPref>

Presence: [0..1]

Definition: Dividend option chosen by the account owner based on the options offered in the prospectus.

Datatype: [IncomePreference2Code](#) on page 3293

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

76.1.52.10.7 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

Presence: [0..1]

Definition: Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

Datatype: BeneficiaryCertificationCompletion1Code on page 3248

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

76.1.52.10.8 RequestedTradeDate <ReqdTradDt>

Presence: [0..1]

Definition: Date to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: ISODate on page 3391

76.1.52.10.9 RequestedSettlementDate <ReqdSttlmDt>

Presence: [0..1]

Definition: Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: ISODate on page 3391

76.1.52.10.10 SettlementAmount <SttlmAmt>

Presence: [0..1]

Definition: Total amount of money paid/to be paid or received in exchange for the financial instrument.

Impacted by: C2 ActiveCurrency __, C10 CurrencyAmount __

Datatype: ActiveCurrencyAndAmount on page 3238

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

– *Error Text:* Invalid currency code or too many decimal digits.

76.1.52.10.11 StampDuty <StmpDty>

Presence: [0..1]

Definition: Specifies if whether the settlement amount includes the stamp duty amount.

Datatype: [StampDutyType2Code on page 3357](#)

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

76.1.52.10.12 NetAmount <NetAmt>

Presence: [0..1]

Definition: Deal amount.

Impacted by: [C2 ActiveCurrency](#), [C10 CurrencyAmount](#)

Datatype: [ActiveCurrencyAndAmount on page 3238](#)

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.1.52.10.13 Fees <Fees>

Presence: [0..*]

Definition: Fee related to the transfer of the financial instrument.

Impacted by: C15 FeeTaxElementRule

Fees <Fees> contains the following elements (see Fees2 on page 1753 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1754
	IndividualFee <IndvFee>	[0..*]			1755
	Type <Tp>	[1..1]			1755
{Or	Code <Cd>	[1..1]	CodeSet		1755
Or}	Proprietary <Prtry>	[1..1]	±		1756
	Basis <Bsis>	[0..1]			1756
{Or	Code <Cd>	[1..1]	CodeSet		1756
Or}	Proprietary <Prtry>	[1..1]	±		1757
	Amount <Amt>	[1..1]	Amount	C2, C10	1757
	DiscountDetails <DscntDtls>	[0..1]		C13	1758
	Amount <Amt>	[0..1]	Amount	C2, C10	1758
	Rate <Rate>	[0..1]	Rate		1759
	Basis <Bsis>	[0..1]			1759
{Or	Code <Cd>	[1..1]	CodeSet		1759
Or}	Proprietary <Prtry>	[1..1]	±		1760
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1760
	RecipientIdentification <RcptId>	[0..1]	±		1760

Constraints

- **FeeTaxElementRule**
(Rule)

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

Error handling:

- Error severity: Fatal
- Error Code:
- Error Text:

76.1.52.10.14 IndividualTax <IndvTax>

Presence: [0..*]

Definition: Tax related to the transfer of the financial instrument.

IndividualTax <IndvTax> contains the following elements (see [Tax38](#) on page 3073 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			3073
{Or	Code <Cd>	[1..1]	CodeSet		3074
Or}	Proprietary <Prtry>	[1..1]	±		3074
	Basis <Bsis>	[0..1]			3075
{Or	Code <Cd>	[1..1]	CodeSet		3075
Or}	Proprietary <Prtry>	[1..1]	±		3075
	Amount <Amt>	[1..1]	Amount	C2, C10	3075
	Country <Ctry>	[0..1]	CodeSet	C11	3076
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		3077
	ExemptionReason <XmptnRsn>	[0..1]			3077
{Or	Code <Cd>	[1..1]	CodeSet		3077
Or}	Proprietary <Prtry>	[1..1]	±		3080
	RecipientIdentification <Rcptld>	[0..1]	±		3080
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			3080
	Basis <Bsis>	[0..1]			3081
{Or	Code <Cd>	[1..1]	CodeSet		3081
Or}	Proprietary <Prtry>	[1..1]	±		3081
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	3082

76.1.52.10.15 ForeignExchangeDetails <FXDtls>

Presence: [0..*]

Definition: Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

ForeignExchangeDetails <FXDtIs> contains the following elements (see [ForeignExchangeTerms37](#) on page 1979 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1980
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1981
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1981
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1982
	ExchangeRate <XchgRate>	[1..1]	Rate		1982
	QuotationDate <QtnDt>	[0..1]	DateTime		1983
	QuotingInstitution <QtgInstn>	[0..1]	±		1983

76.1.52.10.16 SettlementPartiesDetails <SttlmPtiesDtIs>

Presence: [0..1]

Definition: Chain of parties involved in the settlement of the transaction.

SettlementPartiesDetails <SttlmPtiesDtls> contains the following elements (see [FundSettlementParameters16](#) on page 3168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		3169
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		3169
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		3169
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	3169

76.1.52.10.17 PhysicalTransfer <PhysTrf>

Presence: [0..1]

Definition: Indicates whether the financial instrument is to be physically delivered.

Datatype: [PhysicalTransferType1Code](#) on page 3328

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.
PHYS	Physical	Physical transfer.

76.1.52.10.18 PhysicalTransferDetails <PhysTrfDtls>

Presence: [0..1]

Definition: Parameters of a physical delivery.

Impacted by: [C17 NameAndAddress1Rule](#)

PhysicalTransferDetails <PhysTrfDtls> contains the following elements (see [DeliveryParameters4](#) on page 2826 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrInd>	[1..1]	Indicator		2827
	NameAndAddress <NmAndAdr>	[0..1]	±		2827
	ContactPerson <CtctPrsn>	[0..1]	±		2827

Constraints

- **NameAndAddress1Rule**

(Rule)

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

76.1.52.10.19 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <CIntRef> contains the following elements (see [AdditionalReference10](#) on page 2002 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

76.1.52.11 Transfer37

Definition: Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferConfirmationReference <TrfConfRef>	[1..1]	Text		3218
	TransferReference <TrfRef>	[1..1]	Text		3218
	ClientReference <ClntRef>	[0..1]	±		3218
	CounterpartyReference <CtrPtyRef>	[0..1]	±		3218
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		3218
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		3219
	EffectiveTransferDate <FctvTrfDt>	[1..1]	±		3219
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		3219
	TradeDate <TradDt>	[0..1]	±		3219
	TransferOrderDateForm <TrfOrdrDtForm>	[0..1]	Date		3220
	TransferReason <TrfRsn>	[0..1]	±		3220
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		3220
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C16	3220
	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		3221
	TransferRate <TrfRate>	[0..1]	Rate		3221
	UnitsDetails <UnitsDtls>	[0..*]	±		3221
	Rounding <Rndg>	[0..1]	CodeSet		3222
	OriginalCost <OrgnlCost>	[0..1]	Amount	C2	3222
	AveragePrice <AvrgPric>	[0..1]	Amount	C3	3223
	NewAveragePrice <NewAvrgPric>	[0..1]	Amount	C3	3223
	AverageDate <AvrgDt>	[0..1]	Date		3224
	NewAverageDate <NewAvrgDt>	[0..1]	Date		3224
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	3224
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		3225
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		3225
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		3225

Constraints

- **TotalUnitsNumberRule**

(Rule)

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

76.1.52.11.1 TransferConfirmationReference <TrfConfRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the transfer execution, as assigned by the confirming party.

Datatype: [Max35Text on page 3409](#)

76.1.52.11.2 TransferReference <TrfRef>

Presence: [1..1]

Definition: Unique and unambiguous identifier for the transfer instruction, as assigned by the instructing party.

Datatype: [Max35Text on page 3409](#)

76.1.52.11.3 ClientReference <CIntRef>

Presence: [0..1]

Definition: Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

ClientReference <CIntRef> contains the following elements (see [AdditionalReference10 on page 2002](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

76.1.52.11.4 CounterpartyReference <CtrPtyRef>

Presence: [0..1]

Definition: Unambiguous identification of the transfer allocated by the counterparty.

CounterpartyReference <CtrPtyRef> contains the following elements (see [AdditionalReference10 on page 2002](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		2002
	Referencelssuer <RefIssr>	[0..1]	±		2002
	MessageName <MsgNm>	[0..1]	Text		2003

76.1.52.11.5 BusinessFlowType <BizFlowTp>

Presence: [0..1]

Definition: Identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process).

Datatype: [BusinessFlowType1Code](#) on page 3250

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

76.1.52.11.6 RequestedSettlementDate <ReqdSttlmDt>

Presence: [0..1]

Definition: Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

Datatype: [ISODate](#) on page 3391

76.1.52.11.7 EffectiveTransferDate <FctvTrfDt>

Presence: [1..1]

Definition: Date and time at which the transfer was executed.

EffectiveTransferDate <FctvTrfDt> contains one of the following elements (see [DateAndDateTime2Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1826
Or}	DateTime <DtTm>	[1..1]	DateTime		1826

76.1.52.11.8 EffectiveSettlementDate <FctvSttlmDt>

Presence: [0..1]

Definition: Date and time at which the securities were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

EffectiveSettlementDate <FctvSttlmDt> contains one of the following elements (see [DateAndDateTime2Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1826
Or}	DateTime <DtTm>	[1..1]	DateTime		1826

76.1.52.11.9 TradeDate <TradDt>

Presence: [0..1]

Definition: Date and time at which the transaction is completed and cleared, that is, securities are delivered.

TradeDate <TradDt> contains one of the following elements (see [DateAndDateTime2Choice](#) on page 1825 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1826
Or}	DateTime <DtTm>	[1..1]	DateTime		1826

76.1.52.11.10 TransferOrderDateForm <TrfOrdrDtForm>

Presence: [0..1]

Definition: Date on which the investor signed the transfer order form.

Datatype: [ISODate](#) on page 3391

76.1.52.11.11 TransferReason <TrfRsn>

Presence: [0..1]

Definition: Reason for the transfer.

TransferReason <TrfRsn> contains one of the following elements (see [TransferReason1Choice](#) on page 3226 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3226
Or}	Proprietary <Prtry>	[1..1]	±		3227

76.1.52.11.12 HoldingsPlanType <HldgsPlanTp>

Presence: [0..3]

Definition: Specifies information about investment plans included in the holding.

Datatype: [HoldingsPlanType1Code](#) on page 3293

CodeName	Name	Definition
INVP	InvestmentPlan	Holding to be transferred belongs to an investment plan.
SWIP	SwitchPlan	Holding to be transferred belongs to a switch plan.
PLAR	WithdrawalPlan	Holding to be transferred belongs to a withdrawal plan.

76.1.52.11.13 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Information related to the financial instrument transferred.

Impacted by: [C16 IdentificationGuideline](#)

FinancialInstrumentDetails <FinInstrmDtls> contains the following elements (see [FinancialInstrument88 on page 1874](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1875
	Name <Nm>	[0..1]	Text		1876
	ShortName <ShrtNm>	[0..1]	Text		1876
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1876
	ClassType <ClsTp>	[0..1]	Text		1877
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1877
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1877
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1877

Constraints

- **IdentificationGuideline**

(Guideline)

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

76.1.52.11.14 TotalUnitsNumber <TtlUnitsNb>

Presence: [1..1]

Definition: Number of units transferred.

Datatype: [DecimalNumber on page 3405](#)

76.1.52.11.15 TransferRate <TrfRate>

Presence: [0..1]

Definition: Quantity of securities transferred as a percentage of the holding.

Datatype: [PercentageRate on page 3406](#)

76.1.52.11.16 UnitsDetails <UnitsDtls>

Presence: [0..*]

Definition: Breakdown of units transferred.

UnitsDetails <UnitsDtls> contains the following elements (see [Unit12](#) on page 1934 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1935
	OrderDate <OrdrDt>	[0..1]	Date		1935
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1935
	CertificateNumber <CertNb>	[0..*]	Text		1936
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1936
	Reference <Ref>	[0..1]	Text		1936
	PriceDetails <PricDtls>	[0..1]	±		1936
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C28	1937
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1938
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1939
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1939
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1940
	IndividualFee <IndvFee>	[0..*]	±	C6	1940
	IndividualTax <IndvTax>	[0..*]	±		1942
	OtherAmount <OthrAmt>	[0..*]			1942
	Type <Tp>	[1..1]			1942
{Or	Code <Cd>	[1..1]	CodeSet		1943
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1943
	Amount <Amt>	[1..1]	Amount	C2, C10	1943

76.1.52.11.17 Rounding <Rndg>

Presence: [0..1]

Definition: Rounding direction applied to nearest unit.

Datatype: [RoundingDirection2Code](#) on page 3347

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

76.1.52.11.18 OriginalCost <OrgnlCost>

Presence: [0..1]

Definition: Original amount paid for the asset at the point of purchase. May also be known as the book cost.

Impacted by: C2 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 3237

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.1.52.11.19 AveragePrice <AvrgPric>

Presence: [0..1]

Definition: Weighted average price of the units in the account before the transfer was executed.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.52.11.20 NewAveragePrice <NewAvrgPric>

Presence: [0..1]

Definition: Weighted average price of the units in the account after the transfer was executed.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyAnd13DecimalAmount on page 3239

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.1.52.11.21 AverageDate <AvrgDt>

Presence: [0..1]

Definition: Trade date of the average weighted data of units in the account before the transfer was executed.

Datatype: ISODate on page 3391

76.1.52.11.22 NewAverageDate <NewAvrgDt>

Presence: [0..1]

Definition: Trade date of the average weighted data of units in the account after the transfer was executed.

Datatype: ISODate on page 3391

76.1.52.11.23 TransferCurrency <TrfCcy>

Presence: [0..1]

Definition: Currency used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

Impacted by: C3 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 3246

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006

– *Error Text:* Invalid currency code.

76.1.52.11.24 OwnAccountTransferIndicator <OwnAcctTrfInd>

Presence: [0..1]

Definition: Indicates whether the transfer results in a change of beneficial owner.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 3405):

- *Meaning When True:* Yes
- *Meaning When False:* No

76.1.52.11.25 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

Definition: Additional specific settlement information for non-regulated traded funds.

Datatype: [Max350Text](#) on page 3409

76.1.52.11.26 TransferExpensesPaymentType <TrfExpnssPmtTp>

Presence: [0..1]

Definition: Specifies how the payment of fees and taxes as a result of the transfer is covered, that is, whether by cash or the redemption of units.

TransferExpensesPaymentType <TrfExpnssPmtTp> contains one of the following elements (see [ChargePaymentMethod1Choice](#) on page 1794 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1795
Or}	Proprietary <Prtry>	[1..1]	±		1795

76.1.53 Transfer Status

76.1.53.1 TransferCancellationPendingStatus1

Definition: Transfer cancellation status is in pending.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	Text		3225

76.1.53.1.1 Reason <Rsn>

Presence: [0..1]

Definition: Reason for the cancellation pending status.

Datatype: [Max350Text](#) on page 3409

76.1.53.2 EUDividendStatusType1Choice

Definition: Choice of an EU dividen status type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUDividendStatus <EUDvddSts>	[1..1]	CodeSet		3226
Or}	Proprietary <Prtry>	[1..1]	±		3226

76.1.53.2.1 EUDividendStatus <EUDvddSts>

Presence: [1..1]

Definition: Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Datatype: [EUDividendStatus1Code on page 3275](#)

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

76.1.53.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

Proprietary <Prtry> contains the following elements (see [GenericIdentification13 on page 2020](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2021

76.1.53.3 TransferReason1Choice

Definition: Choice between formats for a transfer reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3226
Or}	Proprietary <Prtry>	[1..1]	±		3227

76.1.53.3.1 Code <Cd>

Presence: [1..1]

Definition: Transfer reason expressed as an ISO 2002 code.

Datatype: [TransferReason1Code on page 3379](#)

CodeName	Name	Definition
TRAU	UndividedPossession	Transfer is an undivided possession.
TRAC	TransferBetweenSpouses	Transfer is between spouses.
TRAT	Trade	Transfer is a trade.
TRAO	OrdinaryTransfer	Transfer is ordinary.
TRAI	Heritage	Transfer is a heritage.
TRAG	Gift	Transfer is a gift.
TPLD	PledgedAccountTransfer	Transfer to pledged account (in certain circumstances distributors have to freeze and transfer total or partial holding to separate omnibus account e.g. investigation required by fiscal authority or police).
TTDT	TDTFrameworkTransfer	Transfer instruction executed within TDT framework (TDT framework is the operation model promoted by the Italian Banking Association for transfer and most of transfers, but not all, will be executed in accordance with that process).
TRPE	TransferBetweenDifferentBeneficiaries	Transfer between different beneficiaries with taxation to be applied (accounts with different owner).
TRAF	Demerger	Transfer is the result of a demerger or division.
TRAN	BetweenOwnAccounts	Transfer is between own accounts.

76.1.53.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Transfer reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification27 on page 2019](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2020
	SchemeName <SchmeNm>	[0..1]	Text		2020
	Issuer <Issr>	[1..1]	Text		2020

76.1.53.4 CancellationPendingStatus7Choice

Definition: Reason for the cancellation pending status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		3228
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		3228
Or}	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		3228

76.1.53.4.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the cancellation pending status.

Datatype: [Max350Text on page 3409](#)

76.1.53.4.2 DataSourceScheme <DataSrcSchme>

Presence: [1..1]

Definition: Proprietary identification of the reason for the cancellation pending status.

DataSourceScheme <DataSrcSchme> contains the following elements (see [GenericIdentification1 on page 2021](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.53.4.3 NoSpecifiedReason <NoSpdfdRsn>

Presence: [1..1]

Definition: Indicates that there is no reason available or to report.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.53.5 ReversedStatus2Choice

Definition: Reason for the reversed status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		3229
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		3229
Or}	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		3229

76.1.53.5.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the reversal status.

Datatype: [Max350Text on page 3409](#)

76.1.53.5.2 DataSourceScheme <DataSrcSchme>

Presence: [1..1]

Definition: Proprietary identification of the reason for the reversed status.

DataSourceScheme <DataSrcSchme> contains the following elements (see [GenericIdentification1 on page 2021](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.53.5.3 NoSpecifiedReason <NoSpdfdRsn>

Presence: [1..1]

Definition: Indicates that there is no reason available or to report.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.53.6 CancelledStatus13Choice

Definition: Reason for the cancelled status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		3229
Or	Reason <Rsn>	[1..1]	CodeSet		3230
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		3230
Or}	DataSourceScheme <DataSrcSchme>	[1..1]	±		3230

76.1.53.6.1 NoSpecifiedReason <NoSpdfdRsn>

Presence: [1..1]

Definition: Indicates that there is no reason available or to report.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.53.6.2 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the cancelled status.

Datatype: [CancelledStatusReason3Code on page 3253](#)

CodeName	Name	Definition
CNTA	CancelledByTransferAgent	Transaction is cancelled by the transfer agent.
CNCL	CancelledByClient	Transaction is cancelled by the client.
CNIN	CancelledByIntermediary	Transaction is cancelled by the intermediary.

76.1.53.6.3 ExtendedReason <XtndedRsn>

Presence: [1..1]

Definition: Reason for the cancelled status.

Datatype: [Extended350Code on page 3407](#)

76.1.53.6.4 DataSourceScheme <DataSrcSchme>

Presence: [1..1]

Definition: Proprietary identification of the reason for the cancelled status.

DataSourceScheme <DataSrcSchme> contains the following elements (see [GenericIdentification1 on page 2021](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.53.7 FailedSettlementStatus2Choice

Definition: Reason for the failed settlement status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		3231
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		3231
Or}	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		3231

76.1.53.7.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the failed settlement status.

Datatype: [Max350Text on page 3409](#)

76.1.53.7.2 DataSourceScheme <DataSrcSchme>

Presence: [1..1]

Definition: Proprietary identification of the reason for the failed settlement status.

DataSourceScheme <DataSrcSchme> contains the following elements (see [GenericIdentification1 on page 2021](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.53.7.3 NoSpecifiedReason <NoSpdfdRsn>

Presence: [1..1]

Definition: Indicates that there is no reason available or to report.

Datatype: [NoReasonCode on page 3316](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.53.8 InRepairStatus4Choice

Definition: Reason for the in repair status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		3231
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		3231
Or}	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		3232

76.1.53.8.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the in-repair status.

Datatype: [Max350Text on page 3409](#)

76.1.53.8.2 DataSourceScheme <DataSrcSchme>

Presence: [1..1]

Definition: Proprietary identification of the reason for the in-repair status.

DataSourceScheme <DataSrcSchme> contains the following elements (see [GenericIdentification1](#) on page 2021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.53.8.3 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Indicates that there is no reason available or to report.

Datatype: [NoReasonCode](#) on page 3316

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.53.9 PendingSettlementStatus3Choice

Definition: Reason for the pending settlement status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	CodeSet		3232
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		3234
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		3234
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		3234

76.1.53.9.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the settlement pending status.

Datatype: [PendingSettlementStatusReason2Code](#) on page 3322

CodeName	Name	Definition
AWSH	AwaitingSharesFromCounterparty	Securities have not yet been received from the counterparty.
BLOC	AccountBlocked	Your account is blocked, no instruction can settle over the account.
CAIS	AwaitingSecurities	Awaiting securities from corporate action issue or other procedures, for example, conversion, dematerialisation, exchange, registration, stamping, splitting, etc.
CLAC	CounterpartyInsufficientSecurities	Insufficient deliverable securities in the counterparty's account, or counterparty does not hold the securities.

CodeName	Name	Definition
DOCC	AwaitingDocumentsOrEndorsementsFromCounterparty	Awaiting documents or endorsements from the counterparty.
DOCY	AwaitingDocumentsOrEndorsementsFromYou	Awaiting documents or endorsements from you.
IAAD	StatusReasonInvestigation	Pending reason is being investigated.
LACK	LackOfSecurities	Insufficient deliverable securities in your account.
LINK	PendingLinkedInstruction	Your instruction is pending settlement because the instruction linked to it is pending.
PHCK	PhysicalSecuritiesVerification	Physical shares have been received and are being checked for authenticity.
PHSE	PhysicalDeliveryDelay	Settlement is physical and securities are being delivered.
SBLO	SecuritiesBlocked	Settlement is pending. The securities are blocked due to, for example, a corporate action event, re-alignment.
MINF	MissingInformation	Information, for example, telephone number, contact person, is missing.
ACOP	AccountNotOpen	Account must already be opened in order to process the transfer.
IINV	UnderInvestigation	Intermediary is investigating the reason why the transfer is pending.
CINV	UnderClientInvestigation	Client has been informed of a problem and is investigating.
AINV	UnderTransferAgentInvestigation	Transfer agent is investigating.
WTRF	AwaitingTransferAgentStatus	Transfer is being processed by the transfer agent, awaiting status from transfer agent.
USUA	UsualTransactionTime	Usual transfer agent's processing timeframe.
ASTA	AwaitingStatus	At your request, the Intermediary is checking the status of your instruction with the transfer agent.
AFST	ApplicationFormSent	Application form has been sent to the transfer agent.
STST	StockTransferFormSent	Stock transfer form has been sent to the counterparty to sign and forward to the transfer agent.
LPRO	LongerProcessing	Longer processing timeframe for this type of transfer, due to documentation requirements.
ADRQ	AdditionalDocumentsRequested	Additional documents have been requested by the transfer agent.
ADS1	AdditionalDocumentsSent1	Additional documents have been sent.
ADS2	AdditionalDocumentsSent2	Upon request of the transfer agent, the intermediary has sent additional

CodeName	Name	Definition
		documents. The transfer agent has confirmed that all the necessary information is now in place.
DRJC	DocumentsRejected	Documents are rejected by the transfer agent.
CYIN	AwaitingCounterpartyReceipt	Counterparty has not sent an instruction to receive. Check with counterparty.
CYDV	AwaitingCounterpartyDelivery	Counterparty has not sent an instruction to deliver or delivered the shares. Check with counterparty.
OVER	NormalProcessingPeriodLapsed	Normal processing period for the instruction has lapsed. The transfer agent has been or will be contacted.
WCPA	WrongCounterpartyAccount	Wrong counterparty account details.
SDUT	LackOfStampDutyInformation	Instruction is pending as stamp duty information is missing.
TAPR	TransferAgentProcessing	Transfer is being processed by transfer agent.
XCNF	ExpectedConfirmation	Confirmation is expected from transfer agent.
ESCA	Escalation	Special follow-up is taking place.
NRCP	TransferAgentNonReceipt	Transfer agent claims non-receipt of physical shares.
FVER	FinalVerification	Confirmed but finality is to be verified.

76.1.53.9.2 ExtendedReason <XtndedRsn>

Presence: [1..1]

Definition: Reason for the settlement pending status.

Datatype: [Extended350Code on page 3407](#)

76.1.53.9.3 DataSourceScheme <DataSrcSchme>

Presence: [1..1]

Definition: Proprietary identification of the reason for the pending settlement status.

DataSourceScheme <DataSrcSchme> contains the following elements (see [GenericIdentification1 on page 2021](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2021
	SchemeName <SchmeNm>	[0..1]	Text		2021
	Issuer <Issr>	[0..1]	Text		2021

76.1.53.9.4 NoSpecifiedReason <NoSpdfdRsn>

Presence: [1..1]

Definition: Indicates that there is no reason available or to report.

Datatype: [NoReasonCode](#) on page 3316

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

76.1.53.10 CancelledCompleteReason1

Definition: Reason for a cancelled completed status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			3235
{Or	Code <Cd>	[1..1]	CodeSet		3235
Or}	Proprietary <Prtry>	[1..1]	±		3235
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		3236

76.1.53.10.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the cancelled complete status.

Reason <Rsn> contains one of the following **CancellationCompleteReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3235
Or}	Proprietary <Prtry>	[1..1]	±		3235

76.1.53.10.1.1 Code <Cd>

Presence: [1..1]

Definition: Cancelled complete reason expressed as a code.

Datatype: [CancelledStatusReason1Code](#) on page 3252

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
CANS	CancelledBySystem	Transaction is cancelled by the system.
CSUB	CancelledByAgent	Transaction is cancelled by the agent.

76.1.53.10.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Cancelled complete reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36](#) on page 2013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.53.10.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Additional information about the cancelled complete status reason.

Datatype: [Max350Text](#) on page 3409

76.1.53.11 RejectionReason33

Definition: Information about a rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			3236
{Or	Code <Cd>	[1..1]	CodeSet		3236
Or}	Proprietary <Prtry>	[1..1]	±		3237
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		3237

76.1.53.11.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason for the rejected status.

Reason <Rsn> contains one of the following **RejectedReason17Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		3236
Or}	Proprietary <Prtry>	[1..1]	±		3237

76.1.53.11.1.1 Code <Cd>

Presence: [1..1]

Definition: Rejected reason expressed as a code.

Datatype: [CancellationRejectedReason1Code](#) on page 3251

CodeName	Name	Definition
CUTO	CutOffTime	Instruction has been received after the cut-off time.

CodeName	Name	Definition
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.

76.1.53.11.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Rejected reason expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification36 on page 2013](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2013
	Issuer <Issr>	[1..1]	Text		2013
	SchemeName <SchmeNm>	[0..1]	Text		2013

76.1.53.11.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Additional information about the rejected status reason.

Datatype: [Max350Text on page 3409](#)

76.2 Message Datatypes

76.2.1 Amount

76.2.1.1 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 3246

Format

minInclusive	0
totalDigits	18
fractionDigits	13

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.2.1.2 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 3246

Format

minInclusive	0
totalDigits	18
fractionDigits	5

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.2.1.3 ActiveOrHistoricCurrencyAnd13DecimalAmount

Definition: A number of monetary units specified in an active or a historic currency where the unit of currency is explicit and compliant with ISO 4217. The number of fractional digits (or minor unit of currency) is not checked as per ISO 4217: It must be lesser than or equal to 13.

Note: The decimal separator is a dot.

Type: Amount

This data type contains the following XML attribute:

Name	Attribute XML Name	Datatype
Currency	Ccy	ActiveOrHistoricCurrencyCode on page 3246

Format

minInclusive	0
totalDigits	18
fractionDigits	13

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

76.2.1.4 ActiveOrHistoricCurrencyAndAmount

Definition: A number of monetary units specified in an active or a historic currency where the unit of currency is explicit and compliant with ISO 4217.

Type: Amount

This data type contains the following XML attribute:

Name	Attribute XML Name	Datatype
Currency	Ccy	ActiveOrHistoricCurrencyCode on page 3246

Format

minInclusive	0
totalDigits	18
fractionDigits	5

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00006
- *Error Text:* Invalid currency code.

- **CurrencyAmount**

(Rule)

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits.

76.2.1.5 CurrencyAndAmount

Definition: Number of monetary units specified in a currency, where the unit of currency is explicit and compliant with ISO 4217. The decimal separator is a dot.

Note: A zero amount is considered a positive amount.

Type: Amount

This data type contains the following XML attribute:

Name	Attribute XML Name	Datatype
Currency	Ccy	CurrencyCode on page 3269

Format

minInclusive	0
totalDigits	18
fractionDigits	5

Constraints

- **ValidationByTable**

(Rule)

Must be a valid currency code which is registered with the ISO 4217 Maintenance Agency, and consist of three contiguous letters.

76.2.1.6 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

76.2.2 CodeSet

76.2.2.1 AcceptedStatusReason1Code

Definition: Specifies the reason for an accepted status.

Type: CodeSet

CodeName	Name	Definition
PLAC	PlaceNotAllowed	Status of the account modification instruction is accepted but modification of the account data will not be carried out for the place.
SECT	SectorNotAllowed	Status of the account modification instruction is accepted but modification of the account data will not be carried out for the sector code.

76.2.2.2 AccountingStatus1Code

Definition: Specifies the accounting status.

Type: CodeSet

CodeName	Name	Definition
YDOM	Domestic	Account or party is regarded as domestic for reporting purposes.
NDOM	NotDomestic	Account or party is not regarded as domestic for reporting purposes.

76.2.2.3 AccountManagementStatus1Code

Definition: Specifies the status of an account management instruction.

Type: CodeSet

CodeName	Name	Definition
RECE	Received	The account management instruction has been received and is acknowledged.
ACCP	Accepted	The account management instruction has been validated and accepted.
EXEC	ProcessingOngoing	The account management instruction is being processed and the confirmation will follow.
STNP	SentToNextParty	The account management instruction has been sent to the next party, for example, the next intermediary.

76.2.2.4 AccountManagementType2Code

Definition: Refer to an account management instruction ie, either an account opening instruction or an account modification instruction or a get account details message.

Type: CodeSet

CodeName	Name	Definition
ACCO	AccountOpening	Refers to an account opening instruction message.
ACCM	AccountModification	Refers to an account modification instruction message.
GACC	GetAccountDetails	Refers to a get account details message.

76.2.2.5 AccountManagementType3Code

Definition: Specifies the instruction for which an status is required.

Type: CodeSet

CodeName	Name	Definition
ACCM	AccountModification	Refers to an account modification instruction message.
ACCO	AccountOpening	Refers to an account opening instruction message.
GACC	GetAccountDetails	Refers to a get account details message.
ACST	AccountStatus	Refers to the account status.

76.2.2.6 AccountOpeningType1Code

Definition: Specifies the type of account to which an account opening request is related, eg, a new account.

Type: CodeSet

CodeName	Name	Definition
NEWA	NewAccountOpening	Account request is to open a new account.
SUPA	SupplementaryAccountOpening	Account request is to open a supplementary account, that is, based on an existing account.

76.2.2.7 AccountOwnershipType4Code

Definition: Specifies the type of account ownership.

Type: CodeSet

CodeName	Name	Definition
UNCO	Unincorporated	Account owner is an unincorporated partnership or is of sole proprietorship.
LIPA	LimitedPartnership	Account owner is a limited partnership or is of sole proprietorship.
ENTR	Entrepreneurial	Entrepreneurial account.
CORP	Corporation	Account owner is a corporate.
CUST	CustodialAccount	Minor's account, registered in the minor's name. Since the minor cannot legally own property, the custodian of the account maintains control of the account.
EURE	EUResidualEntity	Account owner is an entity located in the European Union which can be considered neither as a legal entity (for example, company, corporate), nor as an individual person, nor as a UCITS (Undertakings for Collective Investment of Transferable Securities) fund.
PART	FormalPartnership	Account owner is a contractual business organisation in which two or more individuals agree to pool their funds to manage and operate a business.
TRUS	FormalTrust	Account owner is an organisation which is engaged as a trustee for individuals or businesses in the administration of services such as stock transfer, registration, trust funds.
GOVO	GovernmentOrganisation	Account owner is a government organisation.
JOIT	JointAccount	Two or more individuals of legal age own shares of the same account.
COMO	JointAccountInCommon	Two or more individuals of legal age own shares of the same account. Upon the death of one of the account owners, the

CodeName	Name	Definition
		respective percentage of the ownership is transferred to the deceased's estate.
JOIN	JointAccountWithSurvivorshipRights	Two or more individuals own shares of the same account. Upon the death of one of the account owners, the entire account ownership is passed onto the surviving owners.
LLCO	LimitedLiabilityCompany	Account is for a limited liability company.
NOMI	Nominee	Account owner is a person or firm into whose name securities or other properties are transferred in order to facilitate transactions whilst leaving the customer as the actual owner.
NFPO	NonProfitOrganisation	Account owner is an association that is given tax-free status due to the nature of their activities such as charity organisation.
ONIS	OtherNonIndividual	Account owner is another type of non individual organisation.
RGIC	RegisteredInvestmentCompany	Account is for a registered investment company.
SIGL	SingleOwnerAccount	Account has only one individual owner.

76.2.2.8 AccountOwnershipType6Code

Definition: Specifies the type of account ownership.

Type: CodeSet

CodeName	Name	Definition
BOWN	BareOwner	A person has bare ownership on the asset.
CORP	Corporation	Account owner is a corporate.
CUST	CustodialAccount	Minor's account, registered in the minor's name. Since the minor cannot legally own property, the custodian of the account maintains control of the account.
ENTR	Entrepreneurial	Entrepreneurial account.
EURE	EUResidualEntity	Account owner is an entity located in the European Union which can be considered neither as a legal entity (for example, company, corporate), nor as an individual person, nor as a UCITS (Undertakings for Collective Investment of Transferable Securities) fund.
PART	FormalPartnership	Account owner is a contractual business organisation in which two or more individuals agree to pool their funds to manage and operate a business.
TRUS	FormalTrust	Account owner is an organisation which is engaged as a trustee for individuals or businesses in the administration of

CodeName	Name	Definition
		services such as stock transfer, registration, trust funds.
GOVO	GovernmentOrganisation	Account owner is a government organisation.
JOIT	JointAccount	Two or more individuals of legal age own shares of the same account.
COMO	JointAccountInCommon	Two or more individuals of legal age own shares of the same account. Upon the death of one of the account owners, the respective percentage of the ownership is transferred to the deceased's estate.
JOIN	JointAccountWithSurvivorshipRights	Two or more individuals own shares of the same account. Upon the death of one of the account owners, the entire account ownership is passed onto the surviving owners.
LLCO	LimitedLiabilityCompany	Account is for a limited liability company.
LIPA	LimitedPartnership	Account owner is a limited partnership or is of sole proprietorship.
NOMI	Nominee	Account owner is a person or firm into whose name securities or other properties are transferred in order to facilitate transactions whilst leaving the customer as the actual owner.
NFPO	NonProfitOrganisation	Account owner is an association that is given tax-free status due to the nature of their activities such as charity organisation.
ONIS	OtherNonIndividual	Account owner is another type of non individual organisation.
OWNR	Owner	A person has full ownership on the asset.
RGIC	RegisteredInvestmentCompany	Account is for a registered investment company.
SIGL	SingleOwnerAccount	Account has only one individual owner.
UNCO	Unincorporated	Account owner is an unincorporated partnership or is of sole proprietorship.
USUF	Usufructuary	The person is ...

76.2.2.9 AccountStatusUpdateInstruction1Code

Definition: Specifies the type of account status update instructed.

Type: CodeSet

CodeName	Name	Definition
CLOS	Close	Account is to be closed.
REAC	Reactive	Account is to be reactivated, any previous instruction to close the account is rescinded.

76.2.2.10 AccountStatusUpdateRequestReason1Code

Definition: Sepcifies the reason for a request for a change to an account status.

Type: CodeSet

CodeName	Name	Definition
CLOE	AccountClosureInstructionError	Previous account closure instruction was sent in error.

76.2.2.11 AccountUsageType2Code

Definition: Specifies the type of usage of the account.

Type: CodeSet

CodeName	Name	Definition
INVE	Investor	Investor.
ISSP	IssuingParticipant	Issuing participant.
SETP	SettlementParticipant	Settlement participant.
TRDP	TradingParticipant	Trading participant.

76.2.2.12 ActiveCurrencyCode

Definition: A code allocated to a currency by a Maintenance Agency under an international identification scheme as described in the latest edition of the international standard ISO 4217 "Codes for the representation of currencies and funds".

Type: CodeSet

Format

pattern [A-Z]{3,3}

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

76.2.2.13 ActiveOrHistoricCurrencyCode

Definition: A code allocated to a currency by a Maintenance Agency under an international identification scheme, as described in the latest edition of the international standard ISO 4217 "Codes for the representation of currencies and funds".

Type: CodeSet

Format

pattern [A-Z]{3,3}

Constraints

- **ActiveOrHistoricCurrency**

(Rule)

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- Error severity: Fatal
- Error Code: D00006
- Error Text: Invalid currency code.

76.2.2.14 AddressType1Code

Definition: Specifies the type of address.

Type: CodeSet

CodeName	Name	Definition
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.

76.2.2.15 AddressType2Code

Definition: Specifies the type of address.

Type: CodeSet

CodeName	Name	Definition
ADDR	Postal	Address is the complete postal address.
PBOX	POBox	Address is a postal office (PO) box.
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.
MLTO	MailTo	Address is the address to which mail is sent.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.

76.2.2.16 AMFDoctrine1Code

Definition: Specifies the approach of the Autorite des Marches Financiers (AMF) recommendation 2020-03 to which the fund complies.

Type: CodeSet

CodeName	Name	Definition
AMF1	SignificantlyEngagingMethodology	Approach based on a significantly engaging methodology.
AMF3	NotMeetingCentralCommunicationStandards	Approach not meeting central communication standards or based on limited communication standards.
AMF2	NonSignificantlyEngagingMethodology	Approach based on a non-significantly engaging methodology.

76.2.2.17 AnnualChargePaymentType1Code

Definition: Specifies how a charge is to be deducted.

Type: CodeSet

CodeName	Name	Definition
CAPL	Capital	Annual charge is deducted from the fund capital.
INCO	Income	Annual charge is deducted from the fund income.

76.2.2.18 ApplicableRules1Code

Definition: Specifies applicable rules.

Type: CodeSet

CodeName	Name	Definition
NPRE	NotPreADay	Pre A Day rules do not apply.
YPRE	PreADay	Pre A Day rules applies.

76.2.2.19 BeneficiaryCertificationCompletion1Code

Definition: Specifies the type of certification completion required for a beneficiary.

Type: CodeSet

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

76.2.2.20 BeneficiaryCertificationType4Code

Definition: Specifies the type of certification required.

Type: CodeSet

CodeName	Name	Definition
ACCI	AccreditedInvestor	The holder of the security has to irrevocably certify that it is an Accredited

CodeName	Name	Definition
		Investor as defined in US Securities and Exchange Commission Regulation D.
DOMI	DomicileCountry	The holder of the security has to certify his domicile.
NDOM	NonDomicileCountry	The holder of the security has to certify, in line with the terms of the corporate action, that it is not domiciled in the country indicated.
FULL	FullBeneficialOwnerBreakdown	The holder of the security has to provide his beneficial owner details for disclosure/instruction purpose.
NCOM	NonCompany	The holder of the security has to certify he is an Non-Company related person.
QIBB	QIBCertification	The holder of the security has to irrevocably certify that it is a Qualified Institutional Buyer as defined in US Securities and Exchange Commission Rule 144A.
TRBD	TaxRateBreakdown	The holder of the security has to provide basic details on nominals and associated tax rate to be used by the account servicer.
PAPW	BeneficialOwnerPaperwork	Indicates if the Beneficial Owner is responsible to fill in the paperwork.
PABD	ICSDParticipantBreakdown	The (I)CSD has to provide its participants' details for disclosure purpose to the issuer/issuer's agent.
FRAC	FractionBreakdown	Indicates that the rounding rule in the Fraction Disposition component at the option level can be offered at the beneficial owner level.

76.2.2.21 BeneficiaryType1Code

Definition: Specifies a type of beneficiary.

Type: CodeSet

CodeName	Name	Definition
DEPE	Dependent	Beneficiary is a dependent.
NOMI	Nominee	Beneficiary is a nominee.
SUCC	Successor	Beneficiary is a successor.

76.2.2.22 BestExecution1Code

Definition: Specifies whether best execution rules as defined in the EU MiFID directive were followed for a transaction.

Type: CodeSet

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

76.2.2.23 BlockedReason2Code

Definition: Specifies the reason an account is blocked.

Type: CodeSet

CodeName	Name	Definition
BKRP	Bankruptcy	Bankruptcy.
CMMT	Commitment	Commitment.
CNFS	Confiscation	Confiscation.
MORT	MortisCausa	Reserved in contemplation of death.
PCOM	PendingComplianceVerification	Pending compliance verification.
PLDG	Pledged	Pledged.
TRPE	Reregistration	Reregistration.
SANC	Sanctions	Sanctions are in place.
TRAN	Transfer	Transfer.

76.2.2.24 BusinessDayConvention1Code

Definition: Indicates how a date is adjusted when it falls on a non-business day.

Type: CodeSet

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

76.2.2.25 BusinessFlowDirectionType1Code

Definition: Identifies the business flow, in order to determine the role of the parties in the business process. This indicator is very important when there are multiple intermediaries in the exchange of information process.

Type: CodeSet

CodeName	Name	Definition
ADLV	AssetstoBeDelivered	Assets to be delivered.
ARCV	AssetsToBeReceived	Assets to be received.

76.2.2.26 BusinessFlowType1Code

Definition: Identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process).

Type: CodeSet

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

76.2.2.27 CalculationBasis2Code

Definition: Specifies the calculation basis.

Type: CodeSet

CodeName	Name	Definition
AVER	Average	Average basis.
DAIL	Daily	Daily basis.
MNTH	Monthly	Monthly basis.
YEAR	Annual	Yearly basis.

76.2.2.28 CancellationRejectedReason1Code

Definition: Specifies the reason for a cancellation rejected status.

Type: CodeSet

CodeName	Name	Definition
CUTO	CutOffTime	Instruction has been received after the cut-off time.
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.

76.2.2.29 CancellationRight1Code

Definition: Specifies if the investor has the right to cancel an instruction or, if not, the reason the investor cannot cancel.

Type: CodeSet

CodeName	Name	Definition
VALI	Entitled	Investor is entitled to a "cooling off" period with cancellation rights under compliance rules.
NOXO	ExecutionOnly	Investor is not entitled to cancellation rights under compliance rules, as the investor is an execution's only client.
NOWA	WaiverAgreement	Investor is not entitled to cancellation rights under compliance rules as the investor has agreed to waive those rights.
NOIN	Institutional	Investor is not entitled to cancellation rights under compliance rules as the investor is a financial institution.

76.2.2.30 CancellationRight2Code

Definition: Specifies if the investor has the right to cancel an instruction or, if not, the reason the investor cannot cancel.

Type: CodeSet

CodeName	Name	Definition
VALI	Entitled	Investor is entitled to a "cooling off" period with cancellation rights under compliance rules.
NOXO	ExecutionOnly	Investor is not entitled to cancellation rights under compliance rules, as the investor is an execution's only client.
NOWA	WaiverAgreement	Investor is not entitled to cancellation rights under compliance rules as the investor has agreed to waive those rights.
NOIN	Institutional	Investor is not entitled to cancellation rights under compliance rules as the investor is a financial institution.
OTHR	Other	Another type of cancellation right.

76.2.2.31 CancellationStatus5Code

Definition: Specifies the cancellation status.

Type: CodeSet

CodeName	Name	Definition
RECE	Received	Cancellation instruction/request has been received, that is, technical validation of the message is ok, and the message is now at the receiving side.
PACK	Accepted	Cancellation instruction / request has been received and has been acknowledged / accepted for further processing.
STNP	SentToNextParty	Cancellation instruction/request has been sent to the next party, that is, the next intermediary.

76.2.2.32 CancelledStatusReason1Code

Definition: Specifies the underlying reason for cancellation of the associated transaction.

Type: CodeSet

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
CANS	CancelledBySystem	Transaction is cancelled by the system.
CSUB	CancelledByAgent	Transaction is cancelled by the agent.

76.2.2.33 CancelledStatusReason2Code

Definition: Specifies the underlying reason for cancellation of the associated transaction.

Type: CodeSet

CodeName	Name	Definition
CANH	CancelledByHub	Transaction is cancelled by the hub.
CANP	CancelledByInstructingParty	Transaction is cancelled by the instructing party.
CXLR	EndOfLife	Transaction is rejected by the executing party, the rejection is final therefore the order is cancelled in the system.
CANO	CancelledByOther	Transaction is cancelled by a party other than the instructing party, eg, a market infrastructure such as a stock exchange.

76.2.2.34 CancelledStatusReason3Code

Definition: Specifies the underlying reason for cancellation of the associated transaction.

Type: CodeSet

CodeName	Name	Definition
CNTA	CancelledByTransferAgent	Transaction is cancelled by the transfer agent.
CNCL	CancelledByClient	Transaction is cancelled by the client.
CNIN	CancelledByIntermediary	Transaction is cancelled by the intermediary.

76.2.2.35 CardType1Code

Definition: Specifies the type of payment card.

Type: CodeSet

CodeName	Name	Definition
CRDT	CreditCard	Card where the holder has been granted a line of credit. The card enables the holder to make purchases and withdraw cash up to a pre-arranged ceiling.
DBIT	DebitCard	Card enabling the holder to have its purchases directly charged to its account. The card may also combine other functions, for example, cash card or cheque guaranteed card.

76.2.2.36 CashAccountType5Code

Definition: Specifies the type of cash account.

Type: CodeSet

CodeName	Name	Definition
LEND	Lending	Account is for the coverage of lending.

CodeName	Name	Definition
COLL	Collateral	Account is for collateral.
SETT	FinancialSettlement	Account is for financial settlements.
MARR	MarginReturn	Account is for margin returns.
SEGT	Segregated	Account is an segregated account.

76.2.2.37 CashAssetType1Code

Definition: Specifies a source of the cash asset.

Type: CodeSet

CodeName	Name	Definition
CSH2	CashInHolding	Cash is cash in the holding not yet invested.
CSH1	CashInvestment	Cash is attributed to a cash investment.

76.2.2.38 CertificateType2Code

Definition: Specifies the type of certificate.

Type: CodeSet

CodeName	Name	Definition
AMLC	AntiMoneyLaundering	Anti-money laundering certification form.
DVLC	DrivingLicense	Government issued form of picture identification - driving license.
DFOR	DueFormationAndOrganisation	Certification of due formation and organisation.
GOST	GoodStanding	Certificate of good standing.
IDEN	IdentityCard	Government issued form of picture identification - identity card.
INCU	Incumbency	Certification of incumbency.
LREF	LetterOfReference	Letter of reference.
PASS	Passport	Government issued form of picture identification - passport.
PRAD	ProofOfAddress	Proof of the address, such as a utility bill.
PKIC	PublicKeyInfrastructureCertificate	Public key infrastructure certificate.

76.2.2.39 ChargeBearer1Code

Definition: Specifies which party(ies) will pay charges due for processing of the payment transaction.

Type: CodeSet

CodeName	Name	Definition
OUR	BorneByDebtor	All transaction charges are to be borne by the debtor.

CodeName	Name	Definition
BEN	BorneByCreditor	All transaction charges are to be borne by the creditor.
SHA	Shared	Under the credit transfer scenario, transaction charges on the sender's side are to be borne by the debtor; transaction charges on the receiver's side are to be borne by the creditor.

76.2.2.40 ChargePaymentMethod1Code

Definition: Specifies how expenses are paid.

Type: CodeSet

CodeName	Name	Definition
CASH	Cash	Payment is with cash.
UNIT	Unit	Units are redeemed to cover payment.

76.2.2.41 ChargeType12Code

Definition: Type of service for which a charge is asked or paid.

Type: CodeSet

CodeName	Name	Definition
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
DISC	Discount	Charge that has been reduced from the standard initial charge levied by a fund, eg, during a launch period or as negotiated by a funds supermarket / discount broker.
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, eg, Securities and Exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SPCN	SpecialConcessions	Charges, drawdown, or other reduction from or in addition to the deal price.
TRAN	TransferFee	In investment funds, a fee charged for the transfer of ownership of an investment fund.

76.2.2.42 ChargeType13Code

Definition: Identifies charges linked to the type of service.

Type: CodeSet

CodeName	Name	Definition
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
SWIT	Switch	In investment funds, charge related to a switch transaction.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
DISC	Discount	Charge that has been reduced from the standard initial charge levied by a fund, eg, during a launch period or as negotiated by a funds supermarket / discount broker.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, eg, Securities and Exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
CHAR	ServiceProvisionFee	Fee paid for the provision of financial services.
CDSC	ContingencyDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
INIT	Initial	Charge paid at the time of the first subscription.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
UCIC	UCITSCommission	Charges paid by the investor to the Fund Company for subscription and redemption orders.
SFEN	SpeciallyAgreedFrontEndLoad	Specially agreed front-end load.

76.2.2.43 ChargeType6Code

Definition: Specifies the type of service for which a charge is asked or paid.

Type: CodeSet

CodeName	Name	Definition
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
SWIT	Switch	In investment funds, charge related to a switch transaction.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
DISC	Discount	Charge that has been reduced from the standard initial charge levied by a fund, eg, during a launch period or as negotiated by a funds supermarket / discount broker.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.
MANF	ManagementFee	Fee paid to an investment manager for services. The fee usually includes fund administration costs and investor relationship management. Typically, the amount paid is a percentage of the assets under management.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, eg, Securities and Exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
CHAR	ServiceProvisionFee	Fee paid for the provision of financial services.
OTHR	Other	Another type of charge.
CDSC	ContingencyDeferredSalesCharge	Deferred sales charge.
EQU	Equalisation	The part of an investor's subscription amount that is held by the fund in order to pay incentive or performance fees at the end of the fiscal year.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
INIT	Initial	Charge paid at the time of the first subscription.

76.2.2.44 ChargeType9Code

Definition: Specifies the type of service for which a charge is asked or paid.

Type: CodeSet

CodeName	Name	Definition
MANF	ManagementFee	Fee paid to an investment manager for services. The fee usually includes fund administration costs and investor relationship management. Typically, the amount paid is a percentage of the assets under management.
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
ADVI	AdvisoryFee	Fee paid for advisory services rendered.
CUST	CustodyFee	Fee paid to a custodian in respect of custodial services.
PUBL	PublicationFee	Fee paid in respect of publications made.
ACCT	AccountingFee	Fee paid for accounting services rendered.
EQUL	Equalisation	The part of an investor's subscription amount that is held by the fund in order to pay incentive or performance fees at the end of the fiscal year.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

76.2.2.45 CivilStatus1Code

Definition: Specifies the civil status of a person.

Type: CodeSet

CodeName	Name	Definition
DIVO	Divorced	Person is divorced.
LDIV	LegallyDivorced	Person is legally divorced.
MARR	Married	Person is married.
SEPA	Separated	Person is separated.
SING	Single	Person is single.
UNIO	StableUnion	Person is in a stable union.
WIDO	Widow	Person is a widower.

76.2.2.46 ClosedStatusReason1Code

Definition: Specifies the reason for the closed status.

Type: CodeSet

CodeName	Name	Definition
ASIN	AccountServicerInstruction	Account is closed, following an instruction from the account servicer to close the account.
CLIN	ClientInstruction	Account is closed, following an instruction from the client, or an authorised party, to close the account.

76.2.2.47 ClosurePendingStatusReason1Code

Definition: Specifies the reason for the closure pending status.

Type: CodeSet

CodeName	Name	Definition
CLOS	AccountClosingInProgress	Account closing is in process.
PEND	PendingConditions	Account will be closed when conditions are met.

76.2.2.48 Collateral1Code

Definition: Specifies whether the item is used as collateral.

Type: CodeSet

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

76.2.2.49 CommissionType5Code

Definition: Specifies the type of investment fund commission.

Type: CodeSet

CodeName	Name	Definition
FEND	FrontEnd	Type of service for which the commission is asked or paid.
BEND	BackEnd	Commission for redeeming an investment, when an investor redeems an investment fund within a certain period of time.
OTHR	Other	Commission is another type of transaction.

76.2.2.50 CommissionType6Code

Definition: Specifies the type of investment fund commission.

Type: CodeSet

CodeName	Name	Definition
FEND	FrontEndLoad	Commission for subscribing to an investment, paid at the time of the subscription.
BEND	BackEndLoad	Commission for redeeming an investment, when an investor redeems an investment fund within a certain period of time.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.

76.2.2.51 CommunicationMethod1Code

Definition: Communication method used for the transmission of documents.

Type: CodeSet

CodeName	Name	Definition
SWMT	SWIFTMT	Transmission by Swift (FIN).
SWMX	SWIFTMX	Transmission by SWIFTNET.
FAXI	Fax	Transmission by fax.
EMAL	Email	Transmission by e-mail.
PROP	Proprietary	Transmission by proprietary method.

76.2.2.52 CompanyLink1Code

Definition: Specifies the type of links to a company.

Type: CodeSet

CodeName	Name	Definition
AGEN	Agent	Autonomous agent accredited by the broker.
BROK	Broker	Employee, operator or agent of the broker.
PART	BrokeragePartner	Brokerage partner or shareholder, individual or entity who holds a direct or an indirect control function and the holder of a management or an administration position.
MEMB	MemberBroker	Member broker of a financial conglomerate (person is a board member, director, officer and employee of a member company of the conglomerate).
PCOM	ParentCompany	Parent company of the broker.

CodeName	Name	Definition
RELA	Relative	Spouse or partner and child of an employee, operator or agent of the broker; agent of the broker; brokerage partners or shareholders; individual or entity who holds a direct or an indirect control function and the holder of a management or an administration position.

76.2.2.53 ConditionallyAcceptedStatusReason2Code

Definition: Specifies the reason for a conditionally accepted status.

Type: CodeSet

CodeName	Name	Definition
DOCC	AwaitingDocuments	Order is pending until documents are completed and received, eg, legal documents from the successor, legal proceeds because of bankruptcy, missing signature.
AWRM	AwaitingRedemptionMoney	Order is accepted for further processing but the execution of the order is pending until there are enough funds in the account to complete the redemption.
AWSM	AwaitingSubscriptionMoney	Order is accepted for further processing but the execution of the order is pending until there is enough cash in the account to pay the subscription.
DUPL	PossibleDuplicate	Order is accepted for further processing pending the result of the investigation for possible duplicates.
CRED	TradingLimitExceeded	Order is accepted for further processing pending the extension of the trading limit.

76.2.2.54 ConditionallyAcceptedStatusReason3Code

Definition: Specifies the reason for a conditionally accepted status.

Type: CodeSet

CodeName	Name	Definition
DOCC	AwaitingDocuments	Order is pending until documents are completed and received, eg, legal documents from the successor, legal proceeds because of bankruptcy, missing signature.
AWSM	AwaitingSubscriptionMoney	Order is accepted for further processing but the execution of the order is pending until there is enough cash in the account to pay the subscription.
DUPL	PossibleDuplicate	Order is accepted for further processing pending the result of the investigation for possible duplicates.

CodeName	Name	Definition
CRED	TradingLimitExceeded	Order is accepted for further processing pending the extension of the trading limit.
BPID	BenefitPlanDeclaration	Order is accepted for further processing but the execution of the order is pending the benefit plan investor (BPI) declaration.
ERIS	ERISADeclaration	Order is accepted for further processing but the execution of the order is pending the ERISA declaration.
AML	AMLDocuments	Order is accepted for further processing but the execution of the order is pending until the required anti-money laundering documentation is presented to the transfer agent.
APPR	AwaitingApproval	Order is accepted for further processing but the execution of the order is pending the investment manager's approval.
AFUN	AdditionalFundingRequired	Order is accepted for further processing but the execution of the subscription order is pending as additional funding is required.
BMIN	BelowMinimumInitialInvestmentAmount	Order is accepted for further processing but the execution of the order is pending as the order is below the minimum initial investment amount and is subject to the investment manager's approval.
BMTO	BelowMinimumTopUpAmount	Order is accepted for further processing but the execution of the subscription order is pending as the order is below the minimum top-up investment and is subject to the investment manager's approval.
INSU	InsufficientCapacity	Order is accepted for further processing but the execution of the order is pending as there is insufficient capacity and the order is subject to the investment manager's approval.
PRCT	PercentageHoldingBreach	Order is accepted for further processing but the execution of the order is pending because of a percentage holding breach, eg, PPM rules; taxation rules (ERISA).
BMRA	BelowMinimumRedemptionAmount	Order is accepted for further processing but the execution of the redemption order is pending as it is below the minimum redemption amount and subject to the investment manager's approval.
BMRV	BelowMinimumRetainedAmount	Order is accepted for further processing but the execution of the redemption order is pending as the holding will be below the minimum retained value and subject to the investment manager's approval.

CodeName	Name	Definition
LOCK	LockUp	Order is accepted for further processing but the execution of the order is pending as a lock-up period is in place and subject to the investment manager's approval.
ILLI	AssetsIlliquid	Order is accepted for further processing but the execution of the redemption order is pending as assets are illiquid and the order is subject to the investment manager's approval.
DISC	Discretion	Order is accepted for further processing but the execution of the redemption order is pending as it is subject to the investment manager's discretion.
STOP	SubscriptionTopUpAmount	Order is accepted for further processing but the execution of the subscription order is pending as the order is below the minimum investment and a top-up is required.

76.2.2.55 ConductClassification1Code

Definition: Specifies the classification of the conduct.

Type: CodeSet

CodeName	Name	Definition
NSTA	NonStandard	Non standard or unusual.
RCLT	Reluctant	Reluctant.
STAN	Standard	Standard.

76.2.2.56 ConfirmationCancellationReason1Code

Definition: Specifies the reason why a confirmation is cancelled.

Type: CodeSet

CodeName	Name	Definition
CSHN	CashNotReceived	Confirmation is cancelled because the cash has not been received.
REPL	ConfirmationReplacement	Confirmation is cancelled because it will be replaced.
BENA	IncorrectBackEndLoadAmount	Confirmation is cancelled because the back end load amount is incorrect.
CSHW	IncorrectCashAmount	Confirmation is cancelled because the cash amount is incorrect.
DISA	IncorrectDiscountAmount	Confirmation is cancelled because the discount amount is incorrect.
DISC	IncorrectDiscountAmountCurrency	Confirmation is cancelled because the discount amount has an incorrect currency.

CodeName	Name	Definition
EXCH	IncorrectExchangeRate	Confirmation is cancelled because the exchange rate is incorrect.
FEEE	IncorrectFeeOrCommission	Confirmation is cancelled because a fee or commission amount is incorrect.
DQUA	IncorrectFinancialInstrumentQuantity	Confirmation is cancelled because the financial instrument quantity is incorrect.
FENA	IncorrectFrontEndLoadAmount	Confirmation is cancelled because the front end load amount is incorrect.
GROA	IncorrectGrossAmount	Confirmation is cancelled because the gross amount is incorrect.
GROC	IncorrectGrossAmountCurrency	Confirmation is cancelled because the gross amount has an incorrect currency.
NETA	IncorrectNetAmount	Confirmation is cancelled because the net amount is incorrect.
NETC	IncorrectNetAmountCurrency	Confirmation is cancelled because the net amount has an incorrect currency.
OPER	IncorrectOperation	Confirmation is cancelled because of an incorrect operation.
MINI	IncorrectQuantityUnitsOrCash	Confirmation is cancelled because of an incorrect minimum traded quantity or cash amount.
DMON	IncorrectSettlementAmount	Confirmation is cancelled because the settlement amount is incorrect.
NCRR	IncorrectSettlementAmountCurrency	Confirmation is cancelled because the settlement amount has an incorrect currency.
DDAT	IncorrectSettlementDate	Confirmation is cancelled because the settlement date is incorrect.
SETS	IncorrectSettlementMethod	Confirmation is cancelled because the settlement method is incorrect.
DDEA	IncorrectTradeDate	Confirmation is cancelled because the trade date is incorrect.
REFE	InvalidReference	Confirmation contains an invalid business reference.

76.2.2.57 ConsolidationType1Code

Definition: Specifies the consolidation type.

Type: CodeSet

CodeName	Name	Definition
GENL	General	Consolidation is general.
PART	Participation	Consolidation is at the level of the participant.

76.2.2.58 CorporateActionEventType1Code

Definition: Specifies the type of corporate action event.

Type: CodeSet

CodeName	Name	Definition
DRIP	DividendReinvestment	Event is a dividend payment type where cash dividend is rolled over into additional shares in the issuing company.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or Sicavs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
DVCA	CashDividend	Event is a distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. The shareholder must take cash and is not offered a choice in the form of distribution.
DVOP	DividendOption	Event is a distribution of a dividend to shareholders with the choice of payment method. The shareholder must choose the form of payment - stock, cash, or both.
DVSE	StockDividend	Event is a dividend paid to shareholders in the form of shares of stock in the issuing company or in another company. The shareholder must take stock and is not offered a choice in the form of distribution.
LIQU	Liquidation	Event is a liquidating dividend or liquidation that consists of a distribution of cash, assets, or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security. The security holder may be able to choose the form of liquidation distribution.
MRGR	Merger	Event is a mandatory or voluntary exchange of outstanding securities as the result of two or more companies combining assets. Cash payments may accompany share exchange.
NAME	NameChange	Event is a name change. The issuing company changes its name. The event shows the change from old name to new name and may involve surrendering physical shares with the old name to the registrar.
SOFF	SpinOff	Event is a demerger or distribution or an unbundling. It is a distribution of subsidiary stock to the shareholders of the parent company without a surrender of shares. A spin-off represents a form of divestiture resulting in an independent company. Normally this is without cost to the parent issue shareholder.

CodeName	Name	Definition
SPLF	StockSplit	Event is a change in nominal value, a subdivision. It is an increase in a corporation's number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. Stock price and nominal value are reduced accordingly.
SPLR	ReverseStockSplit	Event is a change in nominal value, a consolidation. It is a decrease in number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. Stock price and nominal value are reduced accordingly.
TEND	Tender	Event is an acquisition or take-over or offre publique de retrait (FR) or purchase offer or buy-back. It is an offer made to shareholders requesting them to sell (tender) their shares for a specified price usually at a premium over prevailing market price. Generally, the objective of a tender offer is to take control of the target company.
BONU	BonusIssue	Event is a bonus issue or scrip issue or capitalisation issue. Security holders are awarded additional assets free of payment from the issuer in proportion to their holding. A bonus issue is typically represented by shares, rights or warrants. Nominal value doesn't change. Holder may be offered choice of form.
RHDI	RightsDistribution	Event is the distribution of rights to shareholders, in proportion to their equity holding.
EXRI	CallOnRights	Event is a call or exercise on nil-paid securities or rights resulting from a rights distribution (RHDI). This is to be used for the second event in those cases where the rights issue is dealt with in two events, the first event being the rights distribution (RHDI).
CHAN	Change	Event is a generic change. For example, a change in the terms of an issue, a change in the identification of a security, change of a board lot, a change from global to definitive.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a financial instrument is restated, eg, the debt in a national currency is restated in euro.
EXOP	ExchangeOption	Event is an option for the shareholders to exchange their securities for other securities and/or cash. Exchange options are mentioned in the terms and conditions of a security and are valid during the whole lifetime of a security.

CodeName	Name	Definition
EXOF	ExchangeOffer	Event is an exchange offer or capital reorganisation. It is an offer to shareholders to exchange their holdings for other securities and/or cash. Exchange offers are usually voluntary involving the exchange of outstanding security for a different security or securities and/or cash.
DECR	DecreaseInValue	Event is a reduction of the share capital and face value of a single share. The number of the circulating shares remains unchanged. It may include a capital pay-out to shareholder.

76.2.2.59 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**

(Rule)

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

76.2.2.60 CreditDebit3Code

Definition: Specifies if an operation is an increase or a decrease.

Type: CodeSet

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

76.2.2.61 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.

76.2.2.62 CRSFormType1Code

Definition: Specifies the type of Common Reporting Standard (CRS) form.

Type: CodeSet

CodeName	Name	Definition
CER4	CertificateIdentificationGovernment	Certificate of Identification issued by a government.
CER3	CertificateOfResidence	Certificate of residence.
CER5	OfficialDocumentGovernmentForEntity	Official documentation issued by a government for the entity.
CER6	OtherDocumentOrReport	Financial statement, third party credit report, bankruptcy filing or a securities regulator report.
CER8	PublicInformationEntity	Publicly available information for the entity.
CER1	SelfCertificationSeparateDocument	Self certification as a separate document.
CER2	SelfCertificationWithAccountOpeningContract	Self certification as a document included into contract of the account opening.
CER7	Standardised	Standardised industry coding system for the entity.

76.2.2.63 CRSSourceStatus1Code

Definition: Specifies the source of Common Reporting Standard (CRS) status.

Type: CodeSet

CodeName	Name	Definition
CALC	Calculated	Source of the Common Reporting Standard (CRS) status is calculated.
DECL	Declared	Source of the Common Reporting Standard (CRS) status is as declared by the investor.

76.2.2.64 CRSStatus1Code

Definition: Specifies the Common Reporting Status (CRS) status.

Type: CodeSet

CodeName	Name	Definition
C101	CRS101	Account holder type is a passive non-financial entity with one or more controlling persons that are foreign persons.

CodeName	Name	Definition
C102	CRS102	Account holder type is a foreign person.
C103	CRS103	Account holder type is a passive foreign non-financial entity without controlling persons that are foreign persons.
C104	CRS104	Account holder type is a financial institution such as a depository, a custodial institution or a specified insurance company.
C105	CRS105	Account holder type is a financial institution such as an investment entity of a non-participating jurisdiction and managed by another financial institution without one or more controlling persons that are foreign persons.
C106	CRS106	Account holder type is a financial institution such as an investment entity of a non-participating jurisdiction and managed by another financial institution with one or more controlling persons that are foreign persons.
C107	CRS107	Account holder type is a financial institution such as another investment entity.
C108	CRS108	Account holder type is an active non-financial entity such as a corporation for which the stock is regularly traded on an established securities market.
C109	CRS109	Account holder type is an active non-financial entity such as a corporation which is a related entity of a corporation for which the stock is regularly traded on an established securities market.
C110	CRS110	Account holder type is an active non-financial entity such as a government entity.
C111	CRS111	Account holder type is an active non-financial entity such as a central bank.
C112	CRS112	Account holder type is an active non-financial entity such as an international organisation.
C113	CRS113	Account holder type is not a foreign person.
C114	CRS114	Account holder type is a financial institution such as an investment entity of a participating jurisdiction and managed by another financial institution.

76.2.2.65 CurrencyCode

Definition: 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". Valid currency codes are registered with the ISO 4217 Maintenance Agency, and consist of three contiguous letters.

Type: CodeSet

Format

pattern [A-Z]{3,3}

Constraints

- **ValidationByTable**

(Rule)

Must be a valid currency code which is registered with the ISO 4217 Maintenance Agency, and consist of three contiguous letters.

76.2.2.66 CurrencyDesignation1Code

Definition: Specifies whether a currency is settled offshore or onshore.

Type: CodeSet

CodeName	Name	Definition
ONSH	Onshore	Onshore.
OFFS	Offshore	Offshore.

76.2.2.67 DataModification1Code

Definition: Specified the type of modification to be applied on a data set.

Type: CodeSet

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.2.2.68 DataModification2Code

Definition: Specified the type of modification to be applied on a data set.

Type: CodeSet

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

76.2.2.69 DeliveryReceiptType2Code

Definition: Specifies how the transaction is to be settled.

Type: CodeSet

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

76.2.2.70 DisabledReason2Code

Definition: Specifies the reason an account is disabled.

Type: CodeSet

CodeName	Name	Definition
CLOS	AccountClosingInProgress	Account closing is in process.
BKRP	Bankruptcy	Bankruptcy.
CMMT	Commitment	Commitment.
CNFS	Confiscation	Confiscation.
MORT	MortisCausa	Reserved in contemplation of death.
PCOM	PendingComplianceVerification	Pending compliance verification.
PLDG	Pledged	Pledged.
TRPE	Reregistration	Reregistration.
SANC	Sanctions	Sanctions are in place.
TRAN	Transfer	Transfer.
REJT	Rejected	Account was pending opening but is now rejected.

76.2.2.71 DistributionPolicy1Code

Definition: Specifies if income is to be paid out (distributed) or retained (accumulated).

Type: CodeSet

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

76.2.2.72 DividendPolicy1Code

Definition: Specifies the dividend policy of the financial instrument.

Type: CodeSet

CodeName	Name	Definition
CASH	Cash	Dividend is paid in cash.

CodeName	Name	Definition
UNIT	Units	Dividend is paid in units.
BOTH	Both	Dividend is paid in both Cash and Units.

76.2.2.73 DrawdownStatus1Code

Definition: Specifies a drawdown status.

Type: CodeSet

CodeName	Name	Definition
FULL	Full	Pension is fully in drawdown.
NONE	None	Pension is not in drawdown.
PART	Partial	Pension is in partial drawdown.

76.2.2.74 DrawdownType2Code

Definition: Specifies a type of drawdown.

Type: CodeSet

CodeName	Name	Definition
BOTH	Both	Drawdown type is both flexi-access and capped.
CAPP	CappedIncomeDrawdown	Drawdown type is capped.
FLEX	FlexibleAccessDrawdown	Drawdown type is flexi-access.

76.2.2.75 Eligible1Code

Definition: Specifies whether the item is eligible or not eligible.

Type: CodeSet

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.
NELI	NotEligible	Item is not eligible.

76.2.2.76 EnabledStatusReason1Code

Definition: Specifies the reason for an enabled status.

Type: CodeSet

CodeName	Name	Definition
MODI	Modified	Modification to the account data is in process.

76.2.2.77 ERISAEligibility1Code

Definition: Specifies information about ERISA (Eligibility to federal Employee Retirement Income Security Act) eligibility.

Type: CodeSet

CodeName	Name	Definition
ELIG	ERISAEligible	Investor is subject to an ERISA declaration.
NELI	NotERISAEligible	Investment is not subject to an ERISA declaration.
UKWN	ERISAEligibilityUnknown	Eligibility is unknown at the time the order is sent, and the instructing party will confirm later.

76.2.2.78 ESGCategoryGermanFundMarket1Code

Definition: Specifies the category of fund product.

Type: CodeSet

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.
IMPF	Impact	Product with impact-related investment (pursuant to Article 9 Disclosure Regulation): - No serious breach of the United Nations Global Compact (UNGC); - Relevant for both individual products and those in a portfolio/basket (shares/ bonds); - Product manager follows a recognised industry standard (UN PRI).
ESGF	ESGStrategy	Product with a dedicated environmental, social and corporate governance (ESG) strategy (pursuant to Article 8 Disclosure Regulation).
BASF	BasicCategory	Product having environmental, social and corporate governance (ESG) characteristics, opportunities or risks according to the "ESG integration enhanced" criteria. Product integration approach is disclosed and the product manager follows a recognised industry standard (UN PRI).

76.2.2.79 ESGCategoryGermanStructuredSecuritiesMarket1Code

Definition: Specifies the category of structured securities product.

Type: CodeSet

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.
IMPS	ImpactSS	Impact-related bond according to recognised market standards (for example, Green/Social Bond Principles, EU Green Bond Standards).

CodeName	Name	Definition
ESGS	ESGStrategySS	Product manufacturer attains at least with one rating agency the status of a sustainable company.
BASS	BasicCategorySS	Product manufacturer follows environmental, social and corporate governance (ESG) product and transparency standard.

76.2.2.80 ESGFocus1Code

Definition: Specifies if focus will be Environmental, Social or Governance.

Type: CodeSet

CodeName	Name	Definition
ENVR	Environmental	Main focus will be environmental.
GOVR	Governance	Main focus will be governance.
SOCL	Social	Main focus will be social.

76.2.2.81 ESGLabelOrStandard1Code

Definition: Specifies the ESG label or standard of a product.

Type: CodeSet

CodeName	Name	Definition
E005	CBIClimateBonds	Climate Bonds Initiative (CBI) Climate Bonds Standard.
C003	EUEcolabel	EU Ecolabel for financial products.
B002	EUGreenBond	EU Green Bond Standard.
L012	FebelfinTowardsSustainability	Febelfin Towards Sustainability label.
D004	FNGSiegel	FNG-Siegel.
O015	GreenfinLabel	Greenfin label.
A001	ICMAGreenBond	International Capital Markets Association (ICMA) Green Bond Principles.
F006	ICMASocialBonds	International Capital Markets Association (ICMA) Social Bonds Principles.
K011	ISR	Label "Investissement Socialement Responsable" (ISR).
J010	KeinVerstoßGegenAtomwaffensperrvertrag	Kein Verstoss gegen Atomwaffensperrvertrag.
H008	LuxFLAGClimate	LuxFLAG climate finance label.
I009	LuxFLAGEEnvironment	LuxFLAG environment label.
G007	LuxFLAGESG	LuxFLAG ESG label.
N014	NordicSwan	Nordic Swan Ecolabel.
M013	UZ49	UZ49 - das Oesterreichische Umweltzeichen.

76.2.2.82 EUCapitalGain1Code

Definition: Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June) for an income realised upon sale, a refund or redemption of shares and units etc.

Type: CodeSet

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.
OTHR	Other	Another type of EU capital gain.

76.2.2.83 EUCapitalGain2Code

Definition: Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June) for an income realised upon sale, a refund or redemption of shares and units etc.

Type: CodeSet

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

76.2.2.84 EUDividendStatus1Code

Definition: Specifies whether the dividend is in the scope of the European directive on taxation of savings income in the form of interest payments.

Type: CodeSet

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

76.2.2.85 EUSavingsDirective1Code

Definition: Indicates whether or not the fund is subject to reporting under the EU Savings Directive. Enter "Variable" if the status of the fund is likely to change from time to time.

Type: CodeSet

CodeName	Name	Definition
EUSI	EUSavingsInScope	Investment Fund is in the scope of the directive.
EUSO	EUSavingsOutScope	Investment Fund is out of the scope of the directive.
VARI	EUSavingsVariable	Investment Fund may vary for inclusion in the scope of the directive.

76.2.2.86 EventFrequency10Code

Definition: Specifies the regularity of an event.

Type: CodeSet

CodeName	Name	Definition
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.

76.2.2.87 EventFrequency1Code

Definition: Specifies the regularity of an event.

Type: CodeSet

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

76.2.2.88 EventFrequency5Code

Definition: Specifies the regularity of an event.

Type: CodeSet

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

76.2.2.89 EventFrequency7Code

Definition: Specifies the regularity of an event.

Type: CodeSet

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
ADHO	Adhoc	Event takes place as necessary.
MNTH	Monthly	Event takes place every month or once a month.
DAIL	Daily	Event takes place every day.
INDA	IntraDay	Event takes place several times a day.
WEEK	Weekly	Event takes place once a week.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

76.2.2.90 EventFrequency8Code

Definition: Specifies the regularity of an event.

Type: CodeSet

CodeName	Name	Definition
ADHO	Adhoc	Event takes place as necessary.
YEAR	Annual	Event takes place every year or once a year.
DAIL	Daily	Event takes place every day.
FOMN	EveryFourMonths	Event takes place every four months or three times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TYEA	EveryTwoYears	Event takes place every two years.
INDA	IntraDay	Event takes place several times a day.
MNTH	Monthly	Event takes place every month or once a month.
ONDE	OnDemand	Event takes place on demand.
OVNG	Overnight	Event takes place overnight.
QUTR	Quarterly	Event takes place every three months or four times a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
TWMN	TwiceAMonth	Event takes place two times a month.
WEEK	Weekly	Event takes place once a week.

76.2.2.91 EventFrequency9Code

Definition: Specifies the regularity of an event.

Type: CodeSet

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.

CodeName	Name	Definition
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.
NONE	None	Event does not take place.

76.2.2.92 ExPostCostCalculationBasis1Code

Definition: Specifies a basis for ex post calculations.

Type: CodeSet

CodeName	Name	Definition
FIXB	FixedBasis	Basic for cost calculation is fixed, that is calendar year.
ROLL	RollingBasis	Basis for cost calculation is rolling, that is, the last twelve months.

76.2.2.93 ExternalAccountIdentification1Code

Definition: Specifies the external account identification scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

minLength	1
maxLength	4

76.2.2.94 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

76.2.2.95 FATCAFormType1Code

Definition: Specifies the type of Foreign Account Tax Compliance Act (FATCA) form.

Type: CodeSet

CodeName	Name	Definition
CER5	CertificateForeignIntermediary	Certificate of foreign intermediary (also known as IRS form W-8IMY).
CER7	CertificateForeignPersonsClaim	Certificate of foreign person's claim that income is effectively connected with the conduct of a trade or business in the United States (also known as IRS form W-8BEN-E).
CER1	CertificateForeignStatusBeneficialOwner	Certificate of foreign status of beneficial owner (also known as IRS form W-8BEN).
CER2	CertificateLossNationality	Certificate of loss of nationality.
CER3	SelfCertification	Self certification.
CER4	SelfCertificationLossNationality	Self certificate of loss of nationality (also known as IRS form I-407).
CER6	TaxpayerIdentificationNumberRequest	Form is a request for taxpayer identification number and certification (also known as IRS form W9).

76.2.2.96 FATCASourceStatus1Code

Definition: Specifies the source of Foreign Account Tax Compliance Act (FATCA) status.

Type: CodeSet

CodeName	Name	Definition
CALC	Calculated	Source of the Foreign Account Tax Compliance Act (FATCA) status calculated.
DECL	Declared	Source of the Foreign Account Tax Compliance Act (FATCA) status is as declared by the investor.

76.2.2.97 FATCAStatus1Code

Definition: Specifies the Foreign Account Tax Compliance Act (FATCA) status.

Type: CodeSet

CodeName	Name	Definition
F101	FATCA101	Account holder type is an owner-documented financial institution with specified US owner(s).
F102	FATCA102	Account holder type is a passive non-financial entity with substantial US owner(s).
F103	FATCA103	Account holder type is a non-participating financial institution.
F104	FATCA104	Account holder type is a specified US person.

CodeName	Name	Definition
F105	FATCA105	Account holder type is a direct reporting non-financial foreign entity (NFFE).
F201	FATCA201	Account pool reporting type is a recalcitrant account holder with US indicia.
F202	FATCA202	Account pool reporting type is a recalcitrant account holder without US indicia.
F203	FATCA203	Account pool reporting type is a dormant account.
F204	FATCA204	Account pool reporting type is a non-participating foreign financial institution.
F205	FATCA205	Account pool reporting type is a recalcitrant account holder that is a US person.
F206	FATCA206	Account pool reporting type is recalcitrant account holder that is a passive non-financial foreign entity (NFFE).

76.2.2.98 FinancialAdvice1Code

Definition: Specifies if advice has been received from an independent financial advisor.

Type: CodeSet

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

76.2.2.99 FlowDirectionType1Code

Definition: Specifies the direction of a cash flow.

Type: CodeSet

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

76.2.2.100 FormOfSecurity1Code

Definition: Form of a financial instrument.

Type: CodeSet

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

76.2.2.101 FrequencyGranularityType1Code

Definition: Defines the granularity of the frequency used for the reporting.

Type: CodeSet

CodeName	Name	Definition
EMON	EndOfMonth	Event takes place at the end of each month or period of one month.
EWEK	EndOfWeek	Event takes place at the end of each week.
ESEM	EndOfSemester	Event takes place at the end of each six months (or two times a year).
EQRT	EndOfQuarter	Event takes place at the end of each period of three months (or four times a year).
EFRT	EndOfFortnight	Event takes place at the end of each two weeks.
EDAY	EndOfDay	Event takes place at the end of each day.
ENDY	EndOfYear	Event takes place at the end of each year.

76.2.2.102 FundCashAccount1Code

Definition: Specifies the cash account type.

Type: CodeSet

CodeName	Name	Definition
CASH	CashAccount	Cash account.
CPFO	PensionFundOrdinary	Central Provident Fund (CPF) ordinary account.
CPFS	PensionFundSpecial	Central Provident Fund (CPF) special account.
SRSA	RetirementScheme	Supplementary Retirement Scheme (SRS) account.
OTHR	Other	Another type cash account.

76.2.2.103 FundCashAccount2Code

Definition: Specifies the cash account type.

Type: CodeSet

CodeName	Name	Definition
CASH	CashAccount	Cash account.
CPFO	PensionFundOrdinary	Central Provident Fund (CPF) ordinary account.
CPFS	PensionFundSpecial	Central Provident Fund (CPF) special account.
SRSA	RetirementScheme	Supplementary Retirement Scheme (SRS) account.

76.2.2.104 FundCashAccount4Code

Definition: Specifies the account type.

Type: CodeSet

CodeName	Name	Definition
HEDG	HedgeFund	Hedge fund account.
CPFO	PensionFundOrdinary	Central Provident Fund (CPF) ordinary account.
CPFS	PensionFundSpecial	Central Provident Fund (CPF) special account.
SRSA	RetirementScheme	Supplementary Retirement Scheme (SRS) account.
CSDO	CSDOmnibusAccount	Account operated by a CSD in cross-CSD settlement context.
TOFF	TechnicalOffsetAccount	Account operated by a CSD in a direct holding market context.
ICSA	InterCSDAccount	Account operated by a CSD for settlement of securities legs for instructions involving internal CSDs.
CSDM	CSDMirrorAccount	Account operated by a CSD for mirroring positions.
CSDP	CSDParticipantAccount	Account owned by a CSD participant.
PPEN	PrivatePensionScheme	Private pension account.
CPEN	WorkplacePensionSchema	Workplace or company pension account.

76.2.2.105 FundIntention1Code

Definition: Specifies if the fund is intended for qualified investors.

Type: CodeSet

CodeName	Name	Definition
YQUA	Qualified	Qualified.
NQUA	NotQualified	Not qualified.

76.2.2.106 FundOrderType10Code

Definition: Specifies a type of investment fund transaction.

Type: CodeSet

CodeName	Name	Definition
SUBS	Subscription	Investment fund order is a subscription.
RDIV	ReinvestmentOfDividend	Investment fund order is a dividend reinvestment (only applicable to a subscription).
REDM	Redemption	Investment fund order is a redemption.
RGSV	RegularSavingsPlan	Investment fund order is a regular savings plan (only applicable to a subscription).
WIDP	Withdrawal	Investment fund order is for a withdrawal investment plan (only applicable to a redemption).

76.2.2.107 FundOrderType1Code

Definition: Specifies the type of the investment fund order.

Type: CodeSet

CodeName	Name	Definition
SUBS	Subscription	Investment fund order is a subscription.
REDM	Redemption	Investment fund order is a redemption.
SWIT	Switch	Investment fund order is a switch.

76.2.2.108 FundOrderType2Code

Definition: Specifies the category of the investment fund order.

Type: CodeSet

CodeName	Name	Definition
BEDB	BedAndBreakfast	Investment fund order is part of a bed and breakfast transaction.
INVP	InvestmentPlan	Investment fund order is related to an investment plan (only applicable to a subscription).
PREA	PreAdvice	Investment fund order is executed with specific pre-advice conditions.
STAF	StaffOrder	Investment fund order is a staff order.
RGSV	RegularSavingsPlan	Investment fund order is a regular savings plan (only applicable to a subscription).
OTHR	Other	Another type of investment fund order.

76.2.2.109 FundOrderType5Code

Definition: Specifies the category of the investment fund order.

Type: CodeSet

CodeName	Name	Definition
NSPN	NormalStaffPortion	That part of an investment fund order attributed to a normal staff portion.
NCPN	NormalClientPortion	That part of an investment fund order attributed to a normal client portion.
SWSP	StaffWithSavingsPlan	That part of an investment fund order attributed to a staff member with a savings plan.
CWSP	ClientWithSavingsPlan	That part of an investment fund order attributed to a client with a savings plan.

76.2.2.110 FundOrderType8Code

Definition: Specifies the category of the investment fund order.

Type: CodeSet

CodeName	Name	Definition
BEDB	BedAndBreakfast	Investment fund order is part of a bed and breakfast transaction.
INVP	InvestmentPlan	Investment fund order is related to an investment plan (only applicable to a subscription).
PREA	PreAdvice	Investment fund order is executed with specific pre-advice conditions.
RGSV	RegularSavingsPlan	Investment fund order is a regular savings plan (only applicable to a subscription).
RGSU	RegularSavingsPlanUpdate	Investment fund order is paying extra money into to an existing plan (only applicable to a subscription).
RDIV	ReinvestmentOfDividend	Investment fund order is a dividend reinvestment (only applicable to a subscription).
STAF	StaffOrder	Investment fund order is a staff order.
WIDP	Withdrawal	Investment fund order is for a withdrawal investment plan (only applicable to a redemption).

76.2.2.111 FundOwnership1Code

Definition: Specifies if all the shares are owned exclusively by the fund company.

Type: CodeSet

CodeName	Name	Definition
YALL	AllOwned	All shares owned.

CodeName	Name	Definition
NALL	NotAllOwned	Not all shares owned.

76.2.2.112 FundPaymentType1Code

Definition: Specifies a type of payment instrument.

Type: CodeSet

CodeName	Name	Definition
DRAF	BankersDraft	Payment instrument is a bankers draft.
CACC	CashAccount	Payment instrument is a cash account.
CHEQ	Cheque	Payment instrument is a cheque.
CRDT	CreditTransfer	Payment instrument is a credit transfer.
DDEB	DirectDebit	Payment instrument is a direct debit.
CARD	PaymentCard	Payment instrument is a payment card.

76.2.2.113 GateHoldBack1Code

Definition: Specifies the type of hold back on redemption proceeds.

Type: CodeSet

CodeName	Name	Definition
GATE	Gating	Gating of redemption proceeds.
HOLD	HoldBack	Hold back of redemption proceeds.

76.2.2.114 GDPRDataConsent1Code

Definition: Consent type in the context of the General Protection Regulation (GDPR) 2016/679 regulation.

Type: CodeSet

CodeName	Name	Definition
DP00	ConsentMarketing	Consent to authorise the controller of personal data processing to process personal data for marketing purposes.
DP03	ConsentProfilingTargeted	Consent to authorise the controller of personal data processing to process personal data for profiling purposes in order to formulate customised and targeted product and service offers.
DP01	ConsentTransferSameMarketing	Consent to authorise the controller of personal data processing to transfer personal data to other companies belonging to the same group for independent processing for marketing purposes.

CodeName	Name	Definition
DP02	ConsentTransferThirdPartyMarketing	Consent to authorise the controller of personal data processing to transfer personal data to third party companies for independent processing for marketing purposes.

76.2.2.115 Gender1Code

Definition: Specifies the gender of a person.

Type: CodeSet

CodeName	Name	Definition
FEMA	Female	Individual is a female.
MALE	Male	Individual is a male.

Restricts

[GenderCode on page 3287](#)

76.2.2.116 GenderCode

Definition: Specifies the gender of a person.

Type: CodeSet

CodeName	Name	Definition
MALE	Male	Individual is a male.
FEMA	Female	Individual is a female.

Is restricted by

[Gender1Code on page 3287](#)

76.2.2.117 GeneralInvestmentAccountType2Code

Definition: Specifies a type of investment account.

Type: CodeSet

CodeName	Name	Definition
ANYY	Any	Any type of general investment account.
EQUI	ShareSavingsAccount	General shares or equity savings account.

76.2.2.118 GovernanceProcessType1Code

Definition: Specifies a type of governance process.

Type: CodeSet

CodeName	Name	Definition
BMIF	ComparableMiFID	Product governance procedure is comparable to MiFID II.

CodeName	Name	Definition
NINF	NoInformation	No information is requested from the issuer.
CMIF	NotMiFID	Product governance procedure is not in accordance with MiFID II.
AMIF	PursuantMiFID	Product governance procedure is pursuant to MiFID II.

76.2.2.119 HedgeFundOrderType1Code

Definition: Specifies the type of the investment fund order.

Type: CodeSet

CodeName	Name	Definition
NUNI	NonUnitized	Investment fund order is for a limited partnership instrument.
SPCM	SidePocketComponent	Investment fund order contains a side pocket component.
BEDB	BedAndBreakfast	Investment fund order is part of a bed and breakfast transaction.
SPOR	SidePocketOrder	Investment fund order is a side pocket order.
UNIT	Unitized	Investment fund order is for a unitized instrument.
TOPU	TopUp	Investment fund order specifies a top up.

76.2.2.120 HedgeFundOrderType2Code

Definition: Specifies the type of the investment fund order.

Type: CodeSet

CodeName	Name	Definition
NUNI	NonUnitized	Investment fund order is for a limited partnership instrument.
SPCM	SidePocketComponent	Investment fund order contains a side pocket component.
BEDB	BedAndBreakfast	Investment fund order is part of a bed and breakfast transaction.
SPOR	SidePocketOrder	Investment fund order is a side pocket order.
UNIT	Unitized	Investment fund order is for a unitized instrument.
TOPU	TopUp	Investment fund order specifies a top up.
HOLD	HoldBack	Investment fund order specifies a hold back.

76.2.2.121 HolderType1Code

Definition: Specifies a type of holder.

Type: CodeSet

CodeName	Name	Definition
TFEE	Transferee	Holder is the transferee party. The transferee party may also be known as the acquiring party.
TFOR	Transferor	Holder is the transferor party. The transferee party may also be known as the ceding party.

76.2.2.122 Holding1Code

Definition: Specifies how the holding is blocked.

Type: CodeSet

CodeName	Name	Definition
CERT	Certificate	Certificate.
NPRH	NonPartialHolding	Non partial holding.
PRTH	PartialHolding	Partial holding.

76.2.2.123 HoldingAccountLevel1Code

Definition: Specifies the level at which the safekeeping holding account has been defined.

Type: CodeSet

CodeName	Name	Definition
SAFE	SafekeepingAccount	Holding account is defined as the safekeeping account (Level 0).
LVL1	Level1	Holding account is defined as the sub-level 1 account.
LVL2	Level2	Holding account is defined as the sub-level 2 account.
LVL3	Level3	Holding account is defined as the sub-level 3 account.
LVL4	Level4	Holding account is defined as the sub-level 4 account.
LVL5	Level5	Holding account is defined as the sub-level 5 account.
LVL6	Level6	Holding account is defined as the sub-level 6 account.
LVL7	Level7	Holding account is defined as the sub-level 7 account.
LVL8	Level8	Holding account is defined as the sub-level 8 account.
LVL9	Level9	Holding account is defined as the sub-level 9 account.

76.2.2.124 HoldingRejectionReason41Code

Definition: Specifies the reason the report item is rejected.

Type: CodeSet

CodeName	Name	Definition
INPR	InvalidPrice	Price does not comply with the financial instrument's characteristics.
INID	InvalidIdentification	Instruction contains an invalid message identification, identification is unknown.
AGIN	InvalidAgent	Invalid agent identification supplied.
INTE	Intermediary	Intermediary is not recognised or is invalid.
CERT	IncorrectCertification	Instruction is rejected since the provided certification is incorrect or incomplete.
BPAR	BusinessPartnerNumberRejection	Unrecognised or invalid business partner number.
BREF	BankReferenceNumberRejection	Unrecognised or invalid bank reference number.
DADR	AddressDetailsRejection	Address details are incorrect or cannot be recognised.
DCUS	DeliveringCustodian	Unrecognised or invalid delivering custodian.
IACT	IncorrectActivityType	Incorrect activity type specified, for example, pre-release conversion.
INVA	InvalidForTaxAuthorities	For tax reclaim, the reclaim is invalid for the tax authorities.
INDT	InvalidDetails	Message details specified in the instruction/request are inconsistent with those that were specified in the relating original message.
OPTI	InvalidOption	Invalid combination of corporate action option code and corporate action option number.
OPTY	InvalidOptionType	Invalid option type.
INMO	InvalidMovementInformation	Details specified in the movement general information block are inconsistent with those that were specified in the relating original message.
INVM	InvalidModificationRequest	Invalid or unrecognized modification request.
INUS	InvalidUnderlyingSecurity	Underlying security identification does not correspond with the corporate action reference supplied.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
ENDP	MissingPeriodEndDate	Period ending date or code is missing.
STAR	MissingPeriodStartDate	Period starting date or code is missing.

CodeName	Name	Definition
SECO	MissingOption	Second option is mandatory.
NOHO	NoHolding	No holding for the specified underlying security.
NINS	NoInstrumentMarket	Referred instrument does not exist in combination with the mentioned market.
NOAP	NotApplicable	Instruction type is not applicable for mandatory events.
NAUT	NotAuthorised	Permission to be processed is not granted.
AGID	NotDefinedAgent	Party is not defined as an agent.
DISP	NotEligibleDisperseSecurity	Disperse security is not eligible in the (ICSD) service provider owner.
CORR	NotIdentifiedCorrespondentBank	Unable to identify correspondent bank.
INPS	PlaceOfSafekeeping	Unrecognised, invalid or missing place of safekeeping.
PLCE	PlaceOfTrade	Unrecognised or invalid place of trade.
PRIC	PriceExceeds	Price in the execution exceeds the order price.
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
QUNP	QuantityUnitType	Quantity unit type is not provided.
DQUA	QuantityRejection	Unrecognised or invalid instructed quantity.
EQTY	QuantityExceeds	Quantity in the execution exceeds the ordered quantity.
DEPT	ReceivingDeliveringDepository	Unrecognised or invalid depository.
RCUS	ReceivingCustodian	Unrecognised or invalid receiving agent.
SAFE	SafekeepingAccountRejection	Unrecognised or invalid message sender's safekeeping account.
DMON	SettlementAmountRejection	Unrecognised or invalid settlement amount.
NCRR	SettlementAmountCurrencyRejection	Unrecognised or invalid settlement amount currency.
TQNP	TradedSecuritiesQuantity	Traded securities quantity not provided.
SETR	SettlementTransactionRejection	Unrecognised or invalid settlement transaction type.
UKWN	UnknownSymbol	Financial instrument's symbol has not been recognized.
DDEA	DealPrice	Unrecognised or invalid deal price.
TERM	ClosingDateTimeRejection	Unrecognised or invalid closing date/time.
ULNK	InvalidReference	Linked reference is unknown.
NARR	NarrativeReason	See narrative field for reason.

CodeName	Name	Definition
NRGN	NotFoundRejection	Instruction could not be found.
INVB	InvalidBalance	Instruction aims at using an invalid balance.
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
CASH	CashAccount	Unrecognised or invalid cash account.
COMC	CommercializationContractRejection	Unrecognised or invalid commercialisation contract.
CONL	ConcentrationLimitExceeded	Concentration limit was exceeded.
INHO	InsufficientBalance	Insufficient balance.
ICOL	InsufficientCollateral	Insufficient collateral proposed.
INVE	InvalidInvestorParty	Unrecognised or invalid investor party. May be used by an executing party to reject an instruction for an investor (or portfolio) for which it is not authorised to act.
INVN	InvalidLotNumber	Invalid or unrecognized lot number.
INVL	InvalidLink	Invalid or unrecognized link.
VALR	InvalidRule	Account servicer validation rule rejection.
INUK	InvestorNameAddressUnknown	Investor name and address is not recognised.
LATT	Late	Instruction/Request arrives too late.
MINO	MinimumSettlementQuantity	Quantity instructed is lower than the minimum existing settlement quantity for the financial instrument.
BOIS	MissingBeneficiaryOwnerDetails	Rejected due to missing beneficiary owner details.
MCER	MissingCertification	Certification has not been filled in.
IPOA	MissingOrInvalidPOA	Missing or invalid power of attorney.
MUNO	MultipleSettlementQuantity	Quantity instructed is not a multiple of an existing settlement quantity lot for the financial instrument.
INNA	NarrativeInformationRejection	Unrecognised or invalid service level agreement pre-agreed narrative information.
NINV	NoInventory	Requested financial instrument is not available.
ELIG	NonEligibleSecurity	Security is not eligible.
PERI	PeriodEndDateBeforeStartDate	Period ending date is before period starting date.
REFE	ReferenceRejection	Instruction has a reference identical to another previously received instruction.
SAID	SameIdentification	Several messages with the same identification.

CodeName	Name	Definition
OWNT	TypeOfOwnershipRejection	Type of ownership indicated is not correct.
NTAV	NotAvailable	Reason is not available or unknown.

76.2.2.125 HoldingsPlanType1Code

Definition: Specifies the holdings plan of the assets to transfer.

Type: CodeSet

CodeName	Name	Definition
INVP	InvestmentPlan	Holding to be transferred belongs to an investment plan.
SWIP	SwitchPlan	Holding to be transferred belongs to a switch plan.
PLAR	WithdrawalPlan	Holding to be transferred belongs to a withdrawal plan.

76.2.2.126 HoldingTransferable1Code

Definition: Indicate whether or not registered investors are able to transfer some or all of their holdings to third parties.

Type: CodeSet

CodeName	Name	Definition
TRAL	TransferAllowed	Transfer is allowed.
TRNA	TransferNotAllowed	Transfer is not allowed.
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

76.2.2.127 IncomePreference1Code

Definition: Specifies the options for distribution of dividend income.

Type: CodeSet

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

76.2.2.128 IncomePreference2Code

Definition: Specifies the options for distribution of dividend income.

Type: CodeSet

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

76.2.2.129 InformationDistribution2Code

Definition: Specifies how information is to be distributed.

Type: CodeSet

CodeName	Name	Definition
ELEC	Electronic	Electronic distribution.
NONE	NoDistribution	No distribution.
PAPR	Paper	Paper distribution.

76.2.2.130 InRepairStatusReason1Code

Definition: Specifies the reason for a In Repair status.

Type: CodeSet

CodeName	Name	Definition
COMA	CommercialAgreement	Order has been accepted and centralised before the cut off, but with different sales agreement than the one provided in the order.

76.2.2.131 Insurance1Code

Definition: Specifies the type of insurance.

Type: CodeSet

CodeName	Name	Definition
LIFE	LifeInsurance	Life insurance.
PDIS	PermanentDisabilityInsurance	Permanent disability insurance.

76.2.2.132 IntendedOrActual2Code

Definition: Specifies if a charge or cost is intended (ex ante) or actual (post ante).

Type: CodeSet

CodeName	Name	Definition
ANTE	ExAnte	Ex ante (intended).
POST	ExPost	Ex post (actual).

76.2.2.133 InvestmentAccountCategory1Code

Definition: Specifies the investment account category.

Type: CodeSet

CodeName	Name	Definition
MAND	MandateAccount	Account is fully managed by the financial institution, that is, an investor gives a 'mandate' to the financial institution to execute a mutually agreed investment strategy on its behalf.

CodeName	Name	Definition
RETA	RetailAccount	Account is a standard account managed by the investor. The investor issues instructions for the account to the financial institution.

76.2.2.134 InvestmentFundFee1Code

Definition: Specifies the type of service for which a fee e is asked or paid.

Type: CodeSet

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/ intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SWIT	Switch	In investment funds, charge related to a switch transaction.

CodeName	Name	Definition
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

76.2.2.135 InvestmentFundFee2Code

Definition: Type of service for which a charge is asked or paid.

Type: CodeSet

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
TRAN	TransferFee	In investment funds, a fee charged for the transfer of ownership of an investment fund.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SPCN	SpecialConcessions	Fees, drawdown, or other reduction from or in addition to the deal price.

76.2.2.136 InvestmentFundMiFIDFee2Code

Definition: Specifies a type of cost or charge.

Type: CodeSet

CodeName	Name	Definition
BORF	BorrowingCostFund	Financing costs related to borrowing for the purposes of gearing expressed as a percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07105 and 08045.
DIS2	DistributionFee	Distribution fee. This fee is included in the total on going costs and is not included in the management fee. It is only applicable if the product has this feature. The cost reported should reflect the current running distribution fee. When used in reference to MiFID, this is

CodeName	Name	Definition
		in the scope of the European MiFID Template (EMT) reference 07120 and 08060 and this a percentage of the NAV of the financial instrument expressed in annualised terms (rate of cost deduction to be applied).
FES3	GrossOneOffEntryCostStructured	Gross one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08010 and may be specified as an actual amount or a percentage of the reference value, EMT reference 08110 or 08120, and should only incorporate manufacturer costs (that is, the cost of the financial instrument) and distributor costs upfront when known by the manufacturer. It should, however, not include distribution fees added on top of the product price by distributors that is out of control of the manufacturer.
FEND	GrossOneOffMaximumEntryCostNonAcquired	Gross one-off maximum entry cost not acquired to the fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07020 and is a percentage of the amount to be invested. This fee is paid by the investor to the fund or fund management company. This is indicative and should be adapted by the distributor according to the agreement with the asset manager.
FES2	GrossOneOffMaximumEntryCostStructured	Gross maximum one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07020 or 08120, and is the 'ask price' or 'fair value'. It may be specified as an actual amount or a percentage of the reference value, EMT reference 07150, and should only incorporate manufacturer costs (that is, the cost of the financial instrument) and distributor costs upfront when known by the manufacturer. It should, however, not include distribution fees added on top of the product price by distributors that are out of control of the manufacturer.
GOC1	GrossOngoingCosts	Gross on-going costs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07100 and 08030 and is a percentage of the NAV of the financial product, expressed in annualised terms (rate of cost deduction to be applied). This includes management fees and distribution fees and excludes all transaction costs, incidental costs and performance fees. Costs reported should reflect current running ongoing costs. The gross on-going costs is expressed

CodeName	Name	Definition
		as a percentage of the NAV of the financial instrument per annum.
GOCS	GrossOngoingCostsStructured	Gross on-going costs for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07100 and 08030 and is expressed as a percentage of the NAV or currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 or 08110.
INCF	IncidentalCosts	Fee that covers incidental costs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07140 and 08080 and is expressed as a percentage of the NAV. Includes performance fees and other costs.
INCS	IncidentalCostsStructured	Fee that covers incidental costs for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07140 and 08080 and is expressed as a percentage of the NAV or a currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 and 08110.
MNF1	ManagementFee	Management fee paid to an investment manager for services. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07110 and 08050 and is a percentage of the NAV of the financial product expressed in annualised terms (rate of cost deduction to be applied). These fees are included in total ongoing costs and are fees used by distributors to calculate retrocession fees. The costs reported should reflect current running management costs.
MANS	ManagementFeeStructured	Management fee for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07110 and 08050 and is expressed as a percentage of the NAV or a currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 or 08110.
NET2	NetOneOffEntryCostExPostStructured	Net one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08015 and is minus the

CodeName	Name	Definition
		upfront distribution fee. The cost reported is a net disclosure and therefore the upfront distributor fee is equal to the difference between the gross one-off entry cost (EMT reference 08010) and the net one-off entry (EMT reference 08015).
NESF	NetOneOffEntryCostNonAcquiredStructuredFund	Net one-off entry cost for a structured fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07025. This is expressed as a percentage of the amount to be invested.
NETO	NetOneOffEntryCostStructuredNonAcquired	Net one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07025 and is minus the upfront distribution fee. The cost reported is a net disclosure and therefore the upfront distributor fee is equal to the difference between the one-off entry cost (EMT reference 07020) and the net one-off entry (EMT reference 07025).
NRAM	NotionalReferenceAmount	Notional reference amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07155 and 08120. This is the amount expressed as a number of currency units to which a unit disclosed ex-post cost is based and to which a percentage disclosed cost should be multiplied in order to retrieve the unit cost.
OOEA	OneOffEntryCostAcquired	Percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08025.
OOSF	OneOffExitCostPriorStructuredProductFund	One-off exit cost prior to the recommended holding period (RHP). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07090 and may be specified as a percentage of the amount to be divested.
OOSS	OneOffExitCostPriorStructuredSecurities	One-off exit cost prior to the recommended holding period (RHP). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07090 and is specified as an actual amount or a percentage of the reference value, EMT reference 07150 or 07155.
BENS	OneOffExitCostStructured	One off exit cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08020 and when expressed as a percentage, this is

CodeName	Name	Definition
		a percentage of the reference value, EMT reference 08110 or 08120.
ENAC	OneOffMaximumEntryCostAcquired	Maximum cost of the one-off entry fee. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07040 and is the subscription fees acquired to the fund. It is not included in the one off entry cost 07020. This maximum one-off entry cost acquired to the fund is specified as a percentage of the amount to be invested.
ENFX	OneOffMaximumEntryCostFixedAmountItaly	Maximum one-off entry cost fixed amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07030 and is a flat fee defined by the fund or fund management company. This is indicative and should be adapted by the distributor according to the relationship between the fund and the distribution. This cost is not taken into account in the gross one-off maximum entry cost (FEND), EMT reference 07020.
EXAC	OneOffMaximumExitCostAcquired	Maximum cost of the one-off exit fee acquired to the fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07070. It is not included in the one off maximum exit cost EMT reference 07050. This is paid by the investor to the fund or fund management company. This is a percentage of the NAV.
ENBX	OneOffMaximumExitCostFixedAmountItaly	Maximum one-off exit cost, a maximum fixed amount per redemption. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07060 and is flat fee defined by the fund or fund management company. It is indicative and should be adapted distributor according to the relationship between the fund and the distribution. This cost is not taken in account in the one-off maximum exit cost EMT reference 07050.
BEND	OneOffMaximumExitCostNonAcquired	Maximum cost of the one-off exit fee not acquired to the fund that could happen at a certain time during the life of the product. This is a percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07050.
PENO	OneOffTypicalExitCost	One-off typical exit current exit cost linked to the recommended holding period (RHP) or time to maturity. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07080 and are the

CodeName	Name	Definition
		'normal' fees if the client holds the product until maturity or during the RHP. Example: a product with a 5 year maturity has exit costs of: - 4% after 1 and 2 years - 3% after 3 years - 1% after 4 years - 0 at maturity Then maximum exit cost: 4%. Typical cost : 0
OTES	OneOffTypicalExitCostsStructured	One-off typical exit cost linked to the recommended holding period (RHP) for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07080 and may be specified as an actual amount or a percentage of the reference value, EMT reference 07150 or 07155.
OCAS	OngoingCostsAccumulatedStructured	Sum of daily recurring product costs accumulated during the year until the ex post reference date. This is typically specified as an actual amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08040.
RPSS	ReferencePrice	Reference Price. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07150 and 08110 and is the instrument price to which a unit disclosed ex-post cost is based and to which a percentage disclosed cost should be multiplied in order to retrieve the unit cost.
TRS1	TransactionCost	Cost associated with the transaction. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07130 and 08070 and this is a percentage of the NAV of the financial instrument expressed in annualised terms (rate of cost deduction to be applied).

76.2.2.137 InvestmentFundPlanType1Code

Definition: Specifies a type of investment fund plan.

Type: CodeSet

CodeName	Name	Definition
INVP	SavingsInvestmentPlan	Savings investment plan.

CodeName	Name	Definition
SWIP	SwitchPlan	Switch plan.
WTHP	WithdrawalPlan	Withdrawal plan.

76.2.2.138 InvestmentFundRole2Code

Definition: Specifies the role played by an actor in an investment fund transaction.

Type: CodeSet

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.

CodeName	Name	Definition
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

76.2.2.139 InvestmentFundRole4Code

Definition: Specifies the role played by an actor in an investment fund transaction.

Type: CodeSet

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This

CodeName	Name	Definition
		intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.
CONI	ContactPersonAtInstructingPartyInstitution	Party acting as the contact person at the instructing party institution.
CONE	ContactPersonAtExecutingPartyInstitution	Party acting as the contact person at the executing party institution.
CONA	NameOfAgentToOrder	Name of Agent to the order, if different from the instructing party.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
FNBR	FundBroker	Party acting as an intermediary agent between an investor and a transfer agent for the subscription or redemption to a fund.
PRBR	PrimeBroker	Party acting as settlement agent, provides custody for assets, provides financing for leverage, and prepares daily account statements for its clients, who are money managers, hedge funds, market makers, arbitrageurs, specialists and other professional investors.

76.2.2.140 InvestmentFundRole6Code

Definition: Specifies the role of the party.

Type: CodeSet

CodeName	Name	Definition
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
DATP	DataProvider	Source of financial information. Provides financial news and data (for example, facts, statistics and analysis), for professional and individual investors

CodeName	Name	Definition
		through various media, for example, the Internet, magazines.
DIST	Distributor	Party that act as an wholesaler of funds.
FACT	FundAccountant	Party that keeps accounting records of the available assets and liabilities of the fund. This party calculates deal prices, the Net Asset Value (NAV) of the fund, and may provide fund performance and tax data.
FIAD	FinancialAdvisor	Party that supplies information and advice on investment products.
FIAG	FinalAgent	Financial institution that receives the payment transaction on behalf of an account owner, or other nominated party, and credits the account.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
FNBR	FundBroker	Party acting as an intermediary agent between an investor and a transfer agent for the subscription or redemption to a fund.
FTAG	FirstAgent	Financial institution that receives the payment transaction from the account owner, or other authorised party, and processes the instruction.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in accordance with net flow of capital into or out of the fund.

CodeName	Name	Definition
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.
PAYI	PayingAgent	Agent that executes the payment. In the context of the investment fund industry, the paying agent is the local legal representative of the fund. It may pay out dividends, and collects money for the purchase of funds when a client deals directly with the fund and/or when a client deals with bearer shares. It pays out the redemption of the fund, may distribute information about the fund, and provides legal information about the fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

76.2.2.141 InvestmentFundRole7Code

Definition: Specifies the role of the party.

Type: CodeSet

CodeName	Name	Definition
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
DIST	Distributor	Party that act as a wholesaler of funds.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.

CodeName	Name	Definition
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
PAYI	PayingAgent	Agent that executes the payment. In the context of the investment fund industry, the paying agent is the local legal representative of the fund. It may pay out dividends, and collects money for the purchase of funds when a client deals directly with the fund and/or when a client deals with bearer shares. It pays out the redemption of the fund, may distribute information about the fund, and provides legal information about the fund.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
FACT	FundAccountant	Party that keeps accounting records of the available assets and liabilities of the fund. This party calculates deal prices, the Net Asset Value (NAV) of the fund, and may provide fund performance and tax data.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the

CodeName	Name	Definition
		objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in accordance with net flow of capital into or out of the fund.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.

76.2.2.142 InvestmentFundRole8Code

Definition: Specifies the role of the party.

Type: CodeSet

CodeName	Name	Definition
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
DIST	Distributor	Party that act as an wholesaler of funds.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in accordance with net flow of capital into or out of the fund.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases,

CodeName	Name	Definition
		redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
DATP	DataProvider	Source of financial information. Provides financial news and data (for example, facts, statistics and analysis), for professional and individual investors through various media, for example, the Internet, magazines.

76.2.2.143 InvestmentFundTransactionInType1Code

Definition: Specifies the type of investment fund transaction that results in a cash movement into a fund.

Type: CodeSet

CodeName	Name	Definition
SUBS	Subscription	Transaction is a subscription to an investment fund.
SWII	SwitchIn	Transaction is a subscription leg of a switch order execution.
INSP	InSpecie	Transaction is an InSpecie.
CROI	CrossIn	Transaction is a cross-in.
RDIV	ReinvestmentOfDividend	Transaction is a reinvestment of dividend.

76.2.2.144 InvestmentFundTransactionOutType1Code

Definition: Specifies the type of investment fund transaction that results in a cash movement out of a fund.

Type: CodeSet

CodeName	Name	Definition
REDM	Redemption	Transaction is a redemption of an investment fund.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
INSP	InSpecie	Transaction is an InSpecie.
CROO	CrossOut	Transaction is a cross out.

76.2.2.145 InvestmentFundTransactionType1Code

Definition: Specifies the type of transaction.

Type: CodeSet

CodeName	Name	Definition
ALLL	All	All types of transactions.
SELL	SecuritiesSale	Sale of securities.
BUYI	SecuritiesPurchase	Purchase of securities.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
TRIN	TransferIn	Transaction is an incoming credit to an account on the shareholders register, and is not linked to a shift in investment (subscription or switch), but to account management.
TOUT	TransferOut	Transaction is a debit to an account on the shareholders register, and is not linked to a shift in investment (redemption or switch), but to account management.
SUBS	Subscription	Transaction is a subscription to an investment fund.
REDM	Redemption	Transaction is a redemption of an investment fund.
CDEP	CashDeposit	Transaction is a cash deposit.
CWIT	CashWithdrawal	Transaction is a cash withdrawal.
DIVP	DividendPayment	Transaction is the payment of dividends and other proceeds.
CAEV	CorporationActionEvent	Transaction is the result of a corporate action.
CROI	CrossIn	Transaction is a cross-in.
CROO	CrossOut	Transaction is a cross out.
DIVI	Dividend	Transaction is a dividend.

CodeName	Name	Definition
INSP	InSpecie	Transaction is an InSpecie.
OTHR	Other	Transaction is another type of transaction.
REAA	RedemptionAssetAllocation	Transaction is a redemption in an asset allocation plan which enables investors to withdraw, by percentage a certain amount of cash from several sub-funds of a same umbrella structure.
RWPL	RedemptionWithdrawingPlan	Transaction is a withdrawal by individuals in the framework of a structured plan for investments made in the past.
RDIV	ReinvestmentOfDividend	Transaction is a reinvestment of dividend.
SSPL	SubscriptionSavingsPlan	Transaction is a subscription for a savings plan, that is, money set aside by individuals in the framework of a structured plan for a special purpose, for example, retirement.
SUAA	SubscriptionAssetAllocation	Transaction is a subscription in an asset allocation plan that enables investors to allocate, by percentage a certain amount of cash into several sub-funds of a same umbrella structure.

76.2.2.146 InvestmentNeed2Code

Definition: Specifies an investment need.

Type: CodeSet

CodeName	Name	Definition
NSPE	None	No specific need.
OTHR	Other	Other specific need.
ISLB	IslamicBanking	Investment need is for Islamic banking.

76.2.2.147 InvestorProfileStatus1Code

Definition: Specifies the status of the investor profile.

Type: CodeSet

CodeName	Name	Definition
DISA	Disabled	Status of the investor profile is disabled.
DISG	Disabling	Status of the investor profile is in the process of being disabled.
ENAB	Enabled	Status of the investor profile is enabled.
ENBG	Enabling	Status of the investor profile is in the process of being enabled.
ADMI	InAdmission	Status of the investor profile is in admission.

CodeName	Name	Definition
ANLY	InAnalysis	Status of the investor profile is in analysis.
NAPP	NotApproved	Status of the investor profile is not approved.
PSUS	PartiallySuspended	Status of the investor profile is partially suspended.
PEND	PendingApproval	Status of the investor profile is pending approval.
SUPS	Suspended	Status of the investor profile is suspended.

76.2.2.148 InvestorType2Code

Definition: Specifies the type of investor.

Type: CodeSet

CodeName	Name	Definition
BOT3	BothProfessionalPerSeAndElectiveProfessional	Investor is both professional per se and elective professional.
EPRO	ElectiveProfessional	Investor is an elective professional.
PRF2	ProfessionalOrPerSe	Investor is professional or professional per se.

76.2.2.149 InvestorType3Code

Definition: Specifies the type of investor.

Type: CodeSet

CodeName	Name	Definition
RETL	Retail	Investor is a retail investor.
PRF2	ProfessionalOrPerSe	Investor is professional or professional per se.
NEI1	NeitherProfessionalOrRetail	Investor is neither professional or retail.
BOT2	BothProfessionalAndRetail	Investor is both professional and retail.

76.2.2.150 InvestorType4Code

Definition: Specifies the type of investor.

Type: CodeSet

CodeName	Name	Definition
BOT3	BothProfessionalPerSeAndElectiveProfessional	Investor is both professional per se and elective professional.
NPRF	NotProfessionalPerSeElectiveProfessional	Investor is neither professional per se or elective professional.
PRF3	ProfessionalPerSeNotElectiveProfessional	Investor is professional per se but not elective professional.

CodeName	Name	Definition
PRF4	ElectiveProfessionalNotProfessionalPerSe	Investor is an elective professional but not professional per se.

76.2.2.151 KnowYourCustomerCheckType1Code

Definition: Specifies the type of Know Your Customer (KYC) or anti-money laundering due diligence to which the investor has been subjected.

Type: CodeSet

CodeName	Name	Definition
ENHA	Enhanced	Enhanced check, typically carried out on accounts that are considered high risk.
ORDN	Ordinary	Ordinary check, typically carried out on standard accounts.
SIMP	Simple	Simple check, typically carried out on accounts that have a low risk of anti-money laundering, such as an account owned by a financial institution.

76.2.2.152 LanguageCode

Definition: Specifies a language.

Type: CodeSet

Constraints

- **ValidationByTable**

(Rule)

Must be a valid terrestrial language.

76.2.2.153 LateReport1Code

Definition: Specifies whether a transaction report is late.

Type: CodeSet

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

76.2.2.154 LevelOfControl1Code

Definition: Specifies the level of control.

Type: CodeSet

CodeName	Name	Definition
TRAN	Transactions	Transactions are permitted on the account.

CodeName	Name	Definition
VIEW	View	Account may be viewed only.

76.2.2.155 Liability1Code

Definition: Specifies the party responsible for the liability.

Type: CodeSet

CodeName	Name	Definition
INVE	Investor	Investor is responsible.
BROK	Broker	Broker is responsible.

76.2.2.156 LumpSumType1Code

Definition: Specifies a type of lump sum.

Type: CodeSet

CodeName	Name	Definition
DEAB	DeathBenefit	Lump sum is a death benefit lump sum.
PCLS	PensionCommencement	Lump sum is a pension commencement lump sum.
UFPL	Uncrystallised	Lump sum is an uncrystallised fund pension lump sum.

76.2.2.157 MailType1Code

Definition: Specifies the type of mail service.

Type: CodeSet

CodeName	Name	Definition
AIRM	AirMail	Air mail.
ORDM	OrdinaryMail	Ordinary mail.
REGM	RegisteredMail	Registered Mail.

76.2.2.158 MessageRejectedReason1Code

Definition: Specifies the reason for a message rejected status.

Type: CodeSet

CodeName	Name	Definition
REFE	InvalidOrUnrecognisedReference	Request contains an invalid or unrecognised business reference.
NALO	NotAllowedRequest	Instructing party is not allowed to ask for a status for that specific order.

76.2.2.159 MoneyLaunderingCheck1Code

Definition: Specifies the status of money laundering identification procedures.

Type: CodeSet

CodeName	Name	Definition
PASS	Passed	Money laundering identification procedures have been carried out by the intermediary.
NOTC	NotChecked	Money laundering identification procedures have not been carried out.
EXEM	ExemptBelowLimit	Money laundering identification procedures have not been carried out because the transaction is below the prescribed limit.
CLMO	ClientMoneyTypeExempt	Money laundering identification procedures have not been carried out because of the transaction type, for example, switch, or because the transaction is being funded from an existing investor account held by the intermediary.
AUTH	AuthorisedCredit	Money laundering identification procedures have not been carried out because the investor is an authorised credit or financial institution.
POEP	PostalOrElectronicPaymentExempt	Limited money laundering identification procedures have been carried out because it is a one time only transaction and the payment is being made by postal, telephone or electronic transfers from an existing account with an authorised credit or financial institution.

76.2.2.160 NamePrefix1Code

Definition: Specifies the terms used to formally address a person.

Type: CodeSet

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MIST	Mister	Title of the person is Mister or Mr.
MISS	Miss	Title of the person is Miss.
MADM	Madam	Title of the person is Madam.

76.2.2.161 NationalityCode

Definition: Specifies the country where a person was born or is naturalised.

Type: CodeSet

Constraints

- **ValidationByTable**
(Rule)

Must be a valid nationality.

76.2.2.162 NegotiatedTrade1Code

Definition: Specifies whether the trade is negotiated.

Type: CodeSet

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

76.2.2.163 NoCriteria1Code

Definition: Specifies that there is no criteria.

Type: CodeSet

CodeName	Name	Definition
NOCR	NoCriteria	No criteria.

76.2.2.164 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.

76.2.2.165 NotionalOrUnitBased1Code

Definition: Specifies the unit basis of a financial instrument.

Type: CodeSet

CodeName	Name	Definition
UNIT	Unit	Basis of a financial instrument is unit.
NOTI	Notional	Basis of a financial instrument is notional.

76.2.2.166 OperationalStatus1Code

Definition: Specifies the operational status.

Type: CodeSet

CodeName	Name	Definition
ENAB	Enabled	Enabled.
SPEC	SpecialCircumstances	Special circumstances.

76.2.2.167 OrderCancellationStatus2Code

Definition: Specifies the current status of the order cancellation request.

Type: CodeSet

CodeName	Name	Definition
STNP	SentToNextParty	Order cancellation request has been sent to the next party, eg, the next intermediary.
RECE	Received	Status of the order cancellation request is received, that is, technical validation of the message is ok, and the message is now at the receiving side.
CANP	CancellationPending	Order cancellation request is pending, The order cancellation request has been received but this does not indicate the order has been cancelled.
CAND	CancellationCompleted	Status of the order cancellation request is completed. The cancellation request has been accepted and processed; the order has been cancelled.

76.2.2.168 OrderConfirmationStatus1Code

Definition: Specifies the current status of an order confirmation or of an order confirmation amendment.

Type: CodeSet

CodeName	Name	Definition
STNP	SentToNextParty	Order confirmation or order confirmation cancellation instruction or order confirmation amendment has been sent to the next party, eg, the next intermediary.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
COAC	ConfirmationAccepted	Order confirmation or order confirmation amendment is accepted.
CREC	ConfirmationReceived	Order confirmation or order confirmation amendment is received, ie, technical validation of the message is ok, and the message is now at the receiving side.

76.2.2.169 OrderOriginatorEligibility1Code

Definition: Specifies the type of the counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.

Type: CodeSet

CodeName	Name	Definition
ELIG	Eligible	Eligible counterparty - MiFID classification of counterparty. Eligible customers are the most sophisticated level of investor, able to opt out of some

CodeName	Name	Definition
		the protections afforded by conduct of business rules defined under MiFID.
RETL	Retail	Retail client - MiFID classification of counterparty. Retail customers are the least sophisticated level of investor.
PROF	Professional	Professional client - MiFID classification of counterparty. Professional customers are, for example, investment firms, credit institutions, insurance companies.

76.2.2.170 OrderQuantityType2Code

Definition: Specifies how the order is placed, eg by quantity of units or by amount of money.

Type: CodeSet

CodeName	Name	Definition
UNIT	Unit	Order is placed by unit.
CASH	Amount	Order is placed by amount of money.

76.2.2.171 OrderStatus4Code

Definition: Specifies the current status of the order.

Type: CodeSet

CodeName	Name	Definition
PACK	Accepted	Order is accepted and is ready for execution (execution is the moment when pricing is applied).
COSE	AlreadyExecuted	Order is already executed and confirmation has been sent.
STNP	SentToNextParty	Order has been sent to the next party, eg, the next intermediary.
RECE	Received	Order has been received, ie, technical validation of the message is ok, and the message is now at the receiving side.
SETT	Settled	Order is settled. The cash is credited or debited.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
CNFC	ConfirmationAmendment	Order confirmation cancellation has been sent and will be followed by a confirmation amendment, or a confirmation amendment has been sent.
DONE	DoneForDay	Order has been partially filled, and is done for the day, ie, no further executions will take place today.
DONF	PartiallyDone	Order has been partially filled and will not be filled further.
OPOD	Open	Order is open.

CodeName	Name	Definition
IACO	InvalidAgentConfirmation	Order confirmation received from agent is invalid.

76.2.2.172 OrderStatus5Code

Definition: Specifies the current status of the order.

Type: CodeSet

CodeName	Name	Definition
RECE	Received	Order has been received, ie, technical validation of the message is ok, and the message is now at the receiving side.
PACK	Accepted	Order is accepted and is ready for execution (execution is the moment when pricing is applied).
COSE	AlreadyExecuted	Order is already executed and confirmation has been sent.
STNP	SentToNextParty	Order has been sent to the next party, eg, the next intermediary.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
SETT	Settled	Order is settled. The cash is credited or debited.
CSNE	CashSettledOrderNotExecuted	Order is accepted and is ready for execution (execution is the moment when pricing is applied). Cash is settled, but the order is not executed.

76.2.2.173 OrderWaiverReason1Code

Definition: Relates to non-standard orders, to handle them differently, probably in a manual fashion.

Type: CodeSet

CodeName	Name	Definition
LATE	LateTradeDealing	Dealing of the trade is outside the normal limit.
FEND	FrontEndLoadCharge	Front end load charge differs from PPM.
BMIN	BelowMinimumInvestmentAmount	Amount of subscription is below the minimum initial investment amount.
CUTO	CutOffDate	Cut off date has been passed.
COMW	CommissionWaiver	Standard commission is waived.

76.2.2.174 OrganisationType1Code

Definition: Specifies a type of organisation.

Type: CodeSet

CodeName	Name	Definition
IFUN	InvestmentFund	Organisation is an investment fund.
PRIV	PrivateAssociation	Organisation is a private association.
PUBL	Public	Organisation is a public company.
PFUN	PublicFund	Organisation is a public fund.

76.2.2.175 OtherAmountType1Code

Definition: Type of other amount.

Type: CodeSet

CodeName	Name	Definition
PINT	PrepaidInterest	Interest that was pre-paid.
SINT	SettlementInterest	Interest on the interest.

76.2.2.176 OtherAsset2Code

Definition: Specifies a type of asset.

Type: CodeSet

CodeName	Name	Definition
DIMA	Discretionary	Asset is a discretionary investment manager account
EXIA	ExternalAccount	Asset is an external investment account.
MOVE	MovableProperty	Property that is not real estate. Also known as 'movable chattels'.
PROP	Property	Property that is real estate.
TIPP	TrusteeInvestmentPlan	Asset is a trustee investment plan (TIP).

76.2.2.177 PartiallySettledStatusReason1Code

Definition: Specifies the reason for a partially settled status.

Type: CodeSet

CodeName	Name	Definition
UPST	UnitsPartiallySettled	Units are partially settled.
CPST	CashPartiallySettled	Cash is partially settled.
UCPS	UnitsCashPartiallySettled	Units and cash are both partially settled.
HOLA	HoldBackPendingAudit	Final redemption proceeds are held back, pending annual financial audit approval.
HOLL	HoldBackLiquidation	Final redemption proceeds are held back as the fund has been liquidated and is pending audit approval.

76.2.2.178 PartyIdentificationType7Code

Definition: Specifies an alternative identification of a party, for example, national registration identification number, passport number, tax identification number.

Type: CodeSet

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
OTHR	Other	Another type of identification type.
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

76.2.2.179 PartyRole1Code

Definition: Specifies the role of the party in the transaction.

Type: CodeSet

CodeName	Name	Definition
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.

76.2.2.180 PendingOpeningStatusReason1Code

Definition: Specifies the reason for a pending account opening status.

Type: CodeSet

CodeName	Name	Definition
ATHR	Authorisation	Authorisation is required.
ATHP	AuthorisedButPending	Authorisation is provided but account opening is still pending.
FRDM	FATCAReportingDateMissing	FATCA reporting date is missing.
KYCM	KnowYourCustomerDocumentMissing	Know Your Customer (KYC) document is missing.
NOTO	NotOpened	Account is not yet open, even for partial use.
REST	Restrictions	Account will be opened when restrictions are addressed.
RIGH	RightsHolderMissing	Rights holder information is missing.

76.2.2.181 PendingSettlementStatusReason2Code

Definition: Specifies the reason for a transfer or settlement instruction settlement pending status.

Type: CodeSet

CodeName	Name	Definition
AWSH	AwaitingSharesFromCounterparty	Securities have not yet been received from the counterparty.
BLOC	AccountBlocked	Your account is blocked, no instruction can settle over the account.
CAIS	AwaitingSecurities	Awaiting securities from corporate action issue or other procedures, for example, conversion, dematerialisation, exchange, registration, stamping, splitting, etc.
CLAC	CounterpartyInsufficientSecurities	Insufficient deliverable securities in the counterparty's account, or counterparty does not hold the securities.
DOCC	AwaitingDocumentsOrEndorsementsFromCounterparty	Awaiting documents or endorsements from the counterparty.
DOCY	AwaitingDocumentsOrEndorsementsFromYou	Awaiting documents or endorsements from you.
IAAD	StatusReasonInvestigation	Pending reason is being investigated.

CodeName	Name	Definition
LACK	LackOfSecurities	Insufficient deliverable securities in your account.
LINK	PendingLinkedInstruction	Your instruction is pending settlement because the instruction linked to it is pending.
PHCK	PhysicalSecuritiesVerification	Physical shares have been received and are being checked for authenticity.
PHSE	PhysicalDeliveryDelay	Settlement is physical and securities are being delivered.
SBLO	SecuritiesBlocked	Settlement is pending. The securities are blocked due to, for example, a corporate action event, re-alignment.
MINF	MissingInformation	Information, for example, telephone number, contact person, is missing.
ACOP	AccountNotOpen	Account must already be opened in order to process the transfer.
IINV	UnderInvestigation	Intermediary is investigating the reason why the transfer is pending.
CINV	UnderClientInvestigation	Client has been informed of a problem and is investigating.
AINV	UnderTransferAgentInvestigation	Transfer agent is investigating.
WTRF	AwaitingTransferAgentStatus	Transfer is being processed by the transfer agent, awaiting status from transfer agent.
USUA	UsualTransactionTime	Usual transfer agent's processing timeframe.
ASTA	AwaitingStatus	At your request, the Intermediary is checking the status of your instruction with the transfer agent.
AFST	ApplicationFormSent	Application form has been sent to the transfer agent.
STST	StockTransferFormSent	Stock transfer form has been sent to the counterparty to sign and forward to the transfer agent.
LPRO	LongerProcessing	Longer processing timeframe for this type of transfer, due to documentation requirements.
ADRQ	AdditionalDocumentsRequested	Additional documents have been requested by the transfer agent.
ADS1	AdditionalDocumentsSent1	Additional documents have been sent.
ADS2	AdditionalDocumentsSent2	Upon request of the transfer agent, the intermediary has sent additional documents. The transfer agent has confirmed that all the necessary information is now in place.
DRJC	DocumentsRejected	Documents are rejected by the transfer agent.

CodeName	Name	Definition
CYIN	AwaitingCounterpartyReceipt	Counterparty has not sent an instruction to receive. Check with counterparty.
CYDV	AwaitingCounterpartyDelivery	Counterparty has not sent an instruction to deliver or delivered the shares. Check with counterparty.
OVER	NormalProcessingPeriodLapsed	Normal processing period for the instruction has lapsed. The transfer agent has been or will be contacted.
WCPA	WrongCounterpartyAccount	Wrong counterparty account details.
SDUT	LackOfStampDutyInformation	Instruction is pending as stamp duty information is missing.
TAPR	TransferAgentProcessing	Transfer is being processed by transfer agent.
XCNF	ExpectedConfirmation	Confirmation is expected from transfer agent.
ESCA	Escalation	Special follow-up is taking place.
NRCP	TransferAgentNonReceipt	Transfer agent claims non-receipt of physical shares.
FVER	FinalVerification	Confirmed but finality is to be verified.

76.2.2.182 PendingStatusReason1Code

Definition: Specifies the reason for a pending status.

Type: CodeSet

CodeName	Name	Definition
KYCM	KnowYourCustomerDocumentMissing	Know Your Customer (KYC) document is missing.
FRDM	FATCAReportingDateMissing	FATCA reporting date is missing.
RIGH	RightsHolderMissing	Rights holder information is missing.
ATHR	Authorisation	Authorisation is required.
ATHP	AuthorisedButPending	Authorisation is provided but the account change is still pending.
MODI	ModificationInProgress	Modification to the account data is in process.

76.2.2.183 PensionOrderType1Code

Definition: Specifies a type of order attached to a pension.

Type: CodeSet

CodeName	Name	Definition
EARM	Earmark	Pension policy, plan or scheme has been earmarked (set aside.)

CodeName	Name	Definition
SHAR	Sharing	Sharing order for the pension policy, plan or scheme has been issued by a court.

76.2.2.184 PensionSchemeType3Code

Definition: Specifies a type of pension scheme.

Type: CodeSet

CodeName	Name	Definition
AAVC	AdditionalVoluntaryContribution	Pension plan is an additional voluntary contribution plan.
DBEN	DefinedBenefit	Pension plan is a defined benefit plan.
EXPP	ExecutivePensionPlan	Pension plan is an executive pension plan.
FAVC	FreeStandingAdditionalVoluntaryContribution	Pension plan is a free standing additional voluntary contribution plan.
GPPS	GroupPersonalPension	Pension is a group personal pension.
SIPG	GroupSelfInvestedPension	Pension plan is a group self-invested pension plan.
STKG	GroupStakeholder	Pension plan is a group stakeholder pension plan.
IPST	IndividualPensionWithTaxBenefit	Pension is an individual pension savings plan with a tax benefit. This is known as an Individual Pension Schema (IPS) in some markets.
STKI	IndividualStakeholder	Pension plan is an individual stakeholder pension.
OTPM	MandatoryOccupationalPension	Pension is a mandatory occupational pension. This is known as an Obligatory Occupation Pension (OTP) in some markets.
OCDC	OccupationalDefinedContribution	Pension plan is an occupational defined contribution plan.
PPNS	PersonalPension	Pension is a personal pension plan.
EPKA	PersonalPensionAccount	Pension is a personal pension account. This is known as Employee Pension Kapital (EPK) in some markets.
ITPO	PrivateOccupationalPension	Pension is a private occupational pension. This is known as an industrial and trade supplementary pension (ITP) in some markets.
REAN	RetirementAnnuity	Pension plan is a retirement annuity.
SC32	Section32	Pension type covered by section 32.
S32A	Section32A	Pension type covered by section 32A.
SIPP	SelfInvestedPersonalPension	Pension is a self-invested personal pension plan.

CodeName	Name	Definition
SSAS	SmallSelfAdministeredScheme	Pension is a small self-administered pension scheme.
NWRP	NonWrapperPension	Indicates that the party does not operate the pension wrapper.

76.2.2.185 PensionTransferScope1Code

Definition: Specifies the scope of a pension transfer.

Type: CodeSet

CodeName	Name	Definition
CRYS	CrystallisedPart	Transfer is for the crystallised portion.
SDDT	DrawdownTranche	Transfer is for a specific drawdown tranche.
FULP	FullPension	Transfer is for the full pension.
UCRY	UncrystallisedPart	Transfer is for the uncrystallised portion.

76.2.2.186 PersonIdentificationType1Code

Definition: Specifies an alternative identification of an individual person, for example, national registration identification number, passport number.

Type: CodeSet

CodeName	Name	Definition
PASS	PassportNumber	Number assigned by a passport authority to a passport.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
OTHR	Other	Another type of identification type.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.

76.2.2.187 PersonIdentificationType2Code

Definition: Specifies an alternative identification of an individual person, for example, national registration identification number, passport number.

Type: CodeSet

CodeName	Name	Definition
PASS	PassportNumber	Number assigned by a passport authority to a passport.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.

76.2.2.188 PersonIdentificationType6Code

Definition: Specifies an alternative identification of an individual person, for example, national registration identification number, passport number.

Type: CodeSet

CodeName	Name	Definition
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
OTHR	Other	Another type of identification type.

CodeName	Name	Definition
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

76.2.2.189 PersonIdentificationType7Code

Definition: Specifies a type of tax reference.

Type: CodeSet

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

76.2.2.190 PhysicalTransferType1Code

Definition: Specifies whether the financial instrument is to be physically delivered or is a dematerialised transfer.

Type: CodeSet

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.
PHYS	Physical	Physical transfer.

76.2.2.191 PlanStatus1Code

Definition: Specifies the status of a plan.

Type: CodeSet

CodeName	Name	Definition
ACTV	Active	Plan is active.
CLOS	Closed	Plan is closed.
SUSP	Suspended	Plan is suspended.

76.2.2.192 PoliticalExposureType2Code

Definition: Specifies the political exposure type.

Type: CodeSet

CodeName	Name	Definition
NPEX	NoPoliticalExposure	No political exposure.
YPEX	PoliticalExposure	Political exposure.
PEXD	PoliticalExposureDomestic	Political exposure type is domestic.
PEXF	PoliticalExposureForeign	Political exposure type is foreign.

76.2.2.193 PoliticallyExposedPersonStatus1Code

Definition: Status of a politically exposed person.

Type: CodeSet

CodeName	Name	Definition
PE03	CloseAssociate	<p>Person known to be a close associate of the politically exposed person. A person known to be a close associate includes:</p> <p>(a) a natural person who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with the politically exposed person,</p> <p>(b) a natural person who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the de facto benefit of a politically exposed person.</p>
PE01	NaturalPersonEntrusted	Natural person who is or who has been entrusted with prominent public functions.
PE02	FamilyMember	<p>Family member of the politically exposed person. A family member includes:</p> <p>(a) the spouse, or a person considered to be equivalent to a spouse, of the politically exposed person,</p> <p>(b) the children and their spouses, or persons considered to be equivalent to a spouse, of the politically exposed person,</p> <p>(c) the parents of the politically exposed person.</p>

76.2.2.194 PortfolioWithdrawalReason1Code

Definition: Specifies a reason for a withdrawal from the investment product.

Type: CodeSet

CodeName	Name	Definition
FTRS	FirstTimeResidentialProperty	Withdrawal is for a first time residential property.

76.2.2.195 PositionEffect3Code

Definition: Specifies the order in which events are processed.

Type: CodeSet

CodeName	Name	Definition
FIFO	Fifo	First in, first out. Results in a position obtained after having sold in priority the securities bought chronologically.
LIFO	Lifo	Last in, last out. Results in a position obtained after having sold in priority the securities bought chronologically.

76.2.2.196 PriceMethod1Code

Definition: Specifies the type of pricing calculation method.

Type: CodeSet

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

76.2.2.197 PriceReportFunction1Code

Definition: Specifies the function of the price report.

Type: CodeSet

CodeName	Name	Definition
REPL	CompleteReplacementPriceReport	The price report conveys the correction of the complete set of prices previously sent for the same price report identification.
NEWP	NewPriceReport	The price report is 'new', that is the report is not being used as a correction of previously sent prices.
PART	PartialCorrectionPriceReport	The price report conveys the correction of some of the prices previously sent for the same price report identification.

76.2.2.198 PriceSource1Code

Definition: Indicates the source of a price quotation.

Type: CodeSet

CodeName	Name	Definition
FUND	Fund	Source of price quotation is a fund, eg, transfer agent, fund itself.
THEO	Theoretical	Source of price quotation is a theoretical value based on the market yield.
VEND	Vendor	Source of price quotation is an external vendor.

76.2.2.199 PriceSource2Code

Definition: Specifies the source of a price quotation.

Type: CodeSet

CodeName	Name	Definition
FUND	Fund	Source of price quotation is a fund, eg, transfer agent, fund itself.
THEO	Theoretical	Source of price quotation is a theoretical value based on the market yield.
VEND	Vendor	Source of price quotation is an external vendor.
EXCH	StockExchange	Source of price quotation is a stock exchange.

76.2.2.200 PriceValueType2Code

Definition: Specifies a type of value of the price.

Type: CodeSet

CodeName	Name	Definition
DISC	Discount	Price expressed as a number of percentage points below par, for example, a discount price of 2.0% equals a price of 98 when par is 100.
PREM	Premium	Price expressed as a number of percentage points above par, for example, a premium price of 2.0% equals a price of 102 when par is 100.

76.2.2.201 ProductStructure1Code

Definition: Specifies the structure of a financial instrument.

Type: CodeSet

CodeName	Name	Definition
BOND	Bond	Product is a bond.
NUMM	NonUCITSMoneyMarketFund	Product is a money market fund that is not an Undertaking for Collective Investment in Transferable Securities (UCITS).

CodeName	Name	Definition
UCMM	UCITSMoneyMarketFund	Product is an Undertaking for Collective Investment in Transferable Securities (UCITS) money market fund.
EXTC	ExchangeTradedCommodity	Product is an exchange traded commodity.
UCIT	UCITS	Product is an Undertaking for Collective Investment in Transferable Securities (UCITS).
SSEC	StructuredSecurity	Product is a structured security.
SFUN	StructuredFund	Product is a structured fund.
NUCI	NonUCITS	Product is a not an Undertaking for Collective Investment in Transferable Securities (UCITS).

76.2.2.202 ProfileType1Code

Definition: Specifies the type of profile.

Type: CodeSet

CodeName	Name	Definition
HEDG	Hedge	Investor shares that uses defensive operations (hedging), thus avoiding the risk of large swings.
HFTR	HighFrequencyTrader	Investors operating through algorithms and send orders automatically according to the strategies defined by their managers. Through this access model, the participants of these servers are hosted primarily within the premises of Brazilian Market and significantly reduce the time of submission of offers to trading systems.
MAKE	MarketMaker	Agent liquidity, liquidity facilitator, promoter of business, specialist, market maker and liquidity provider are some designations given to those who propose to provide liquidity and minimum reference price for assets previously accredited, factors highlighted in the analysis of efficiency in capital markets.
TREA	Treasury	Trading system of federal securities in the retail market directly to the investor. The operation can be performed directly over the Internet.

76.2.2.203 ProformaStatusReason1Code

Definition: Specifies the reason for proforma status.

Type: CodeSet

CodeName	Name	Definition
MODI	ModificationInProgress	Modification to the account data is in process.
RIGH	Rights	Account opening is waiting for rights holder information.

76.2.2.204 Provided1Code

Definition: Specifies whether items have been provided.

Type: CodeSet

CodeName	Name	Definition
NPRO	NotProvided	Not provided.
PROV	Provided	Provided.

76.2.2.205 QuotationType1Code

Definition: Specifies the type of quotation.

Type: CodeSet

CodeName	Name	Definition
ACTU	ActualAmount	Quotation expressed as a currency and amount.
PRCT	Percentage	Quotation is expressed as percentage.

76.2.2.206 Rank1Code

Definition: Specifies the rank of an element (party, market) in a specific environment.

Type: CodeSet

CodeName	Name	Definition
PRIM	Primary	Element is the primary one.
SECO	Secondary	Element is the primary one.

76.2.2.207 RedemptionCompletion1Code

Definition: Specifies the redemption status of the redemption order.

Type: CodeSet

CodeName	Name	Definition
RED0	RedemptionNo	It is not necessary to send more redemption order instructions to the executing party to complete the redemption, the executing will generate redemption confirmations automatically.
RED1	RedemptionYes	Additional redemption order instructions must be sent to the executing party order to have the rest of the redemption executed.

76.2.2.208 Referred1Code

Definition: Indicates if the investor was referred.

Type: CodeSet

CodeName	Name	Definition
REFR	Referred	The investor was referred to the fund by a placement agent.
NRFR	NotReferred	The investor was not referred to the fund by a placement agent.
UKNW	NotKnown	It is not known whether the investor was referred to the fund by a placement agent.

76.2.2.209 ReferToFundOrderDesk1Code

Definition: Indicates that the operation is only possible in restricted circumstances.

Type: CodeSet

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

76.2.2.210 RejectedConfirmationStatusReason1Code

Definition: Specifies the reason for a confirmation rejected status.

Type: CodeSet

CodeName	Name	Definition
DSAF	DifferentInvestmentAccountDetails	Investment account information not the same as instructed.
DFIN	DifferentFinancialInstrumentDetails	Financial instrument information not the same as instructed.
DBEN	DifferentBeneficiaryDetails	Beneficiary details is not the same as instructed.
DPTD	DifferentPlaceOfTrade	Place of trade not the same as instructed.
DORD	DifferentOrderDateTime	Order date time not the same as instructed.
DCXR	DifferentCancellationRight	Cancellation right not the same as instructed.
DUNB	DifferentUnitsNumber	Units number information not the same as instructed.
DORT	DifferentOrderType	Order type information not the same as instructed.
DROU	DifferentRounding	Rounding information not the same as instructed.
DNAM	DifferentNetAmount	Net amount information not the same as instructed.

CodeName	Name	Definition
DGAM	DifferentGrossAmount	Gross amount information not the same as instructed.
DHRR	DifferentHoldingsRedemptionRate	Holdings redemption rate not the same as instructed.
DGRP	DifferentGroup1Or2Units	Group 1 or 2 units not the same as instructed.
DINP	DifferentIncomePreference	Income preference information not the same as instructed.
DLIR	DifferentLetterIntentReference	Letter Intent reference information not the same as instructed.
DARR	DifferentAccumulationRightReference	Accumulation right reference information not the same as instructed.
DPDI	DifferentPhysicalDeliveryIndicator	Physical delivery indicator information not the same as instructed.
DRSC	DifferentRequestedSettlementCurrency	Requested settlement currency information not the same as instructed.
DNAV	DifferentRequestedNAVCurrency	Requested NAV currency information not the same as instructed.
DFXD	DifferentForeignExchangeDetails	Foreign exchange details information not the same as instructed.
DCHD	DifferentChargeDetails	Charge details information not the same as instructed.
DXOD	DifferentCommissionDetails	Commission details information not the same as instructed.
DTAD	DifferentTaxDetails	Tax details information not the same as instructed.
DPDD	DifferentPhysicalDeliveryDetails	Physical delivery details information not the same as instructed.
DSCA	DifferentSettlementAndCustodyDetails	Settlement and custody details information not the same as instructed.
DPID	DifferentPaymentInstrumentDetails	Payment Instrument details information not the same as instructed.
DSAM	DifferentSettlementAmount	Settlement amount not the same as instructed.
DSDT	DifferentSettlementDate	Settlement date not the same as instructed.
DEXD	DifferentExtensionDetails	Extension information not the same as instructed.
DIMD	DifferentIntermediaryDetails	Intermediary information not the same as instructed.
DTRA	DifferentTotalRedemptionAmount	Total redemption amount not the same as instructed.
DTSA	DifferentTotalSubscriptionAmount	Total subscription amount not the same as instructed.
DACI	DifferentAdditionalCashIn	Additional cash in not the same as instructed.

CodeName	Name	Definition
DACO	DifferentResultingCashOut	Resulting cash out not the same as instructed.
DPSA	DifferentPercentageOfTotalSubscriptionAmount	Percentage of total subscription amount not the same as instructed.
DPRA	DifferentPercentageOfTotalRedemptionAmount	Percentage of total redemption amount not the same as instructed.
DLID	DifferentLegIdentification	Leg Identification not the same as instructed.
DORF	DifferentOrderReference	Confirmation is recognised by the Receiver because the message reference is identified, but the order reference is not the same as instructed.
ULNK	UnknownLinkagesReference	Linked reference is not known.
DREF	DuplicateDealReference	Deal reference is a duplicate of a previously received deal reference.
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
IRCU	ReceiversCustodian	Receiver's Custodian is not recognised or is invalid.
IRIN	ReceiversIntermediary	Receiver's Intermediary is not recognised or is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IDCU	DeliverersCustodian	Deliverer's Custodian is not recognised or is invalid.
IDIN	DeliverersIntermediary	Deliverer's Intermediary is not recognised or is invalid.
ICTR	InvalidCreditTransfer	Credit transfer details are incorrect.
DMON	SettlementAmount	Settlement Amount is invalid.
DDAT	SettlementDate	Settlement date or transfer date is not recognised or is invalid.
NSLA	NotCompliantWithSLA	Confirmation is not compliant with the service level agreement.
MEUT	MissingEUTaxInformation	EU tax information is missing.
MCOM	MissingCommission	Commission information is missing.
MCHA	MissingCharge	Charge information is missing.
MTAX	MissingTaxInformation	Tax information is missing.
NATA	NotAllowedtoAmend	Amendment of order confirmation not allowed.
ALAT	AmendmentTooLate	Amendment of order confirmation too late.

76.2.2.211 RejectedStatusReason10Code

Definition: Specifies the reason for a rejected status.

Type: CodeSet

CodeName	Name	Definition
ADEA	AfterDeadline	Instruction was received after the Receiver's deadline.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.
CUTO	CutOffTime	Instruction has been received after the cut-off time.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
IEXE	SubscriberOrRedeemer	Unrecognised or invalid subscriber or redeemer.
INTE	Intermediary	Intermediary is not recognised or is invalid.
IOTP	InvalidOrderType	Order type is invalid.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
LATE	TooLate	Instruction was received after market deadline.
MONY	NotEnoughCash	There is not enough cash in the account to process the instruction.
NRGM	NoCancellationMatch	The cancellation request has been rejected since more than one instruction match to the cancellation criteria.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
ORRF	DuplicateOrderReference	Order reference is a duplicate of a previously received order.
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
SHIG	TooHighUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too high for a subscription.

CodeName	Name	Definition
SLOW	TooLowUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too low for a subscription.
UDCY	UnacceptedDealCurrency	Deal currency is not supported.
ULNK	UnknownLinkagesReference	Linked reference is not known.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.
ORDR	InvalidOrderedAmount	Unrecognised or invalid ordered amount.
BMIN	BelowMinimumInitialInvestmentAmount	Amount of subscription is below the minimum initial investment amount.
BMTO	BelowMinimumTopUpAmount	Amount of subscription is below the minimum top-up investment.
INSU	InsufficientCapacity	Insufficient capacity.
PRCT	PercentageHoldingBreach	Percentage holding breach, for example, PPM rules; taxation rules (ERISA).
BMRA	BelowMinimumRedemptionAmount	Amount is below the minimum redemption amount.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
LOCK	LockUp	Lock-up period is in place.
ILLI	AssetsIlliquid	Assets are illiquid.
DINV	DataInvalid	Data in the order or transfer instruction is invalid.
CLOS	FundClosed	Fund is closed and will not take in any more investments.

76.2.2.212 RejectedStatusReason11Code

Definition: Specifies the reason for a rejected status.

Type: CodeSet

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
ADEA	AfterDeadline	Instruction was received after the Receiver's deadline.
ILLI	AssetsIlliquid	Assets are illiquid.
BMIN	BelowMinimumInitialInvestmentAmount	Amount of subscription is below the minimum initial investment amount.

CodeName	Name	Definition
BMRA	BelowMinimumRedemptionAmount	Amount is below the minimum redemption amount.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
CUTO	CutOffTime	Instruction has been received after the cut-off time.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IDDB	DirectDebit	Direct debit account identification is not recognised or is invalid.
ORRF	DuplicateOrderReference	Order reference is a duplicate of a previously received order.
FEEE	FeeOrCommission	Unrecognised or invalid fee or commission.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
CLOS	FundClosed	Fund is closed and will not take in any more investments.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INSU	InsufficientCapacity	Insufficient capacity.
INTE	Intermediary	Intermediary is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
ICTR	InvalidCreditTransfer	Credit transfer details are incorrect.
IOTP	InvalidOrderType	Order type is invalid.
DFOR	InvalidSecurityForm	Form of the security is wrong, eg, the form of security is registered not bearer or vice versa.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
LOCK	LockUp	Lock-up period is in place.
NRGM	NoCancellationMatch	The cancellation request has been rejected since more than one instruction match to the cancellation criteria.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
MONY	NotEnoughCash	There is not enough cash in the account to process the instruction.

CodeName	Name	Definition
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
IPAY	PaymentCard	Payment card details are incorrect.
PRCT	PercentageHoldingBreach	Percentage holding breach, for example, PPM rules; taxation rules (ERISA).
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
PHYS	PhysicalSettlement	Physical Settlement Impossible.
PLCE	PlaceOfTrade	Unrecognised or invalid Place of Trade.
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
RTGS	RTGSSystem	Impossible to use RTGS System.
ISAF	SafekeepingPlace	Safekeeping place is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
SETR	SettlementTransaction	Unrecognised or invalid Settlement Transaction.
IEXE	SubscriberOrRedeemer	Unrecognised or invalid subscriber or redeemer.
SHIG	TooHighUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too high for a subscription.
LATE	TooLate	Instruction was received after market deadline.
SLOW	TooLowUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too low for a subscription.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
UWAI	UnacceptedCommissionWaiving	Percentage of commission waiving exceeds the commission percentage or commission amount.
UDCY	UnacceptedDealCurrency	Deal currency is not supported.
UNAV	UnacceptedNAVCurrency	Net asset value currency is not supported.
UPAY	UnacceptedPaymentMethod	Payment method, for example, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.
ULNK	UnknownLinkagesReference	Linked reference is not known.

CodeName	Name	Definition
UNSC	UnacceptableSwitchCombination	Instruction specifies an unacceptable combination for the financial instruments in the switch order.
POIN	DifferentValuationPoints	Order contains funds that have different valuation points.

76.2.2.213 RejectedStatusReason12Code

Definition: Specifies the reason for a transfer or settlement instruction rejected status.

Type: CodeSet

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
IAQD	AcquisitionDate	Acquisition date is not recognised or is invalid.
ICTN	CertificateNumber	Certificate number is not recognised or is invalid.
CYPA	CurrentYearPartial	Partial transfer of current year is not allowed, that is, it is not possible to transfer one asset for the current year as other assets are held for the current year.
TREF	DuplicateTransferReference	Transfer reference is a duplicate of a previously received transfer.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
FTAX	FinancialInstrumentTaxYear	Financial instrument is not valid for the requested tax year.
INID	InsufficientInvestorData	Investor data is insufficient. Applicable when the mandated market practice is not followed.
INAC	InvalidAccountServicer	Account servicer is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
INPM	InvalidNewPlanManager	New plan manager is not recognised or is invalid.
INNA	InvalidNomineeAccount	Nominee account is not recognised or is invalid.

CodeName	Name	Definition
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
INUK	InvestorNameAddressUnknown	Investor name and address is not recognised.
LEGL	LegallyImpossible	Legally impossible to cancel.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
PTNS	PartialNotSupported	Partial transfer is not supported. Applicable when tax years are rolled up and because, for example, a transfer request for tax year 2000 only is received, it is not possible to process the transfer as the investor holds other tax years as well.
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
ISTP	SettlementParties	One or several settlement parties are not recognised or are invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
ISAT	InvalidISAType	ISA type is not recognised or invalid.
OTHR	Other	Another reason for the status rejected.
NCON	NotConvertible	The two share classes are not part of the same fund.
ACLO	AssetClosed	Asset instructed for transfer is closed.
NASS	AssetNotSupported	Asset does not support reregistration.
NQTY	QuantityBelowMinimum	Transfer quantity is too small.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.
ILLI	AssetsIlliquid	Assets are illiquid.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
DINV	DataInvalid	Data in the order or transfer instruction is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.

CodeName	Name	Definition
INTE	Intermediary	Intermediary is not recognised or is invalid.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.
PRCT	PercentageHoldingBreach	Percentage holding breach, for example, PPM rules; taxation rules (ERISA).
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
UPAY	UnacceptedPaymentMethod	Payment method, for example, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.

76.2.2.214 RejectedStatusReason13Code

Definition: Specifies the reason for a transfer or settlement instruction rejected status.

Type: CodeSet

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
IAQD	AcquisitionDate	Acquisition date is not recognised or is invalid.
ICTN	CertificateNumber	Certificate number is not recognised or is invalid.
CYPA	CurrentYearPartial	Partial transfer of current year is not allowed, that is, it is not possible to transfer one asset for the current year as other assets are held for the current year.
TREF	DuplicateTransferReference	Transfer reference is a duplicate of a previously received transfer.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.

CodeName	Name	Definition
FTAX	FinancialInstrumentTaxYear	Financial instrument is not valid for the requested tax year.
INID	InsufficientInvestorData	Investor data is insufficient. Applicable when the mandated market practice is not followed.
INAC	InvalidAccountServicer	Account servicer is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
INPM	InvalidNewPlanManager	New plan manager is not recognised or is invalid.
INNA	InvalidNomineeAccount	Nominee account is not recognised or is invalid.
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
INUK	InvestorNameAddressUnknown	Investor name and address is not recognised.
LEGL	LegallyImpossible	Legally impossible to cancel.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
PTNS	PartialNotSupported	Partial transfer is not supported. Applicable when tax years are rolled up and because, for example, a transfer request for tax year 2000 only is received, it is not possible to process the transfer as the investor holds other tax years as well.
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
ISTP	SettlementParties	One or several settlement parties are not recognised or are invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
ISAT	InvalidISAType	ISA type is not recognised or invalid.
OTHR	Other	Another reason for the status rejected.
NCON	NotConvertible	The two share classes are not part of the same fund.
ACLO	AssetClosed	Asset instructed for transfer is closed.
NASS	AssetNotSupported	Asset does not support reregistration.
NQTY	QuantityBelowMinimum	Transfer quantity is too small.

CodeName	Name	Definition
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.
ILLI	AssetsIlliquid	Assets are illiquid.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
DINV	DataInvalid	Data in the order or transfer instruction is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INTE	Intermediary	Intermediary is not recognised or is invalid.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.
PRCT	PercentageHoldingBreach	Percentage holding breach, for example, PPM rules; taxation rules (ERISA).
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
UPAY	UnacceptedPaymentMethod	Payment method, for example, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.
NCMP	NotCompliantWithMarketPractice	Instruction is not compliant with the relevant market practice.

76.2.2.215 RejectedStatusReason6Code

Definition: Specifies the reason for a rejected status.

Type: CodeSet

CodeName	Name	Definition
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.

76.2.2.216 RejectedStatusReason8Code

Definition: Specifies the reason for a rejected status.

Type: CodeSet

CodeName	Name	Definition
CUTO	CutOffTime	Instruction has been received after the cut-off time.
NALC	NotAllowedToCancel	Instructing party is not allowed to request a cancellation.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
LEGL	LegallyImpossible	Legally impossible to cancel.

76.2.2.217 ReportItemStatus1Code

Definition: Specifies the status of an entry in a report.

Type: CodeSet

CodeName	Name	Definition
ACPD	Accepted	Entry has been accepted by the receiver of the report.
REJT	Rejected	Entry has been rejected by the receiver of the report.

76.2.2.218 ResidentialStatus1Code

Definition: Specifies the residential status of an individual.

Type: CodeSet

CodeName	Name	Definition
RESI	Resident	Resident.
PRES	PermanentResident	Permanent resident.
NRES	NonResident	Non-resident.

76.2.2.219 RestrictionStatus1Code

Definition: Specifies the status of a restriction.

Type: CodeSet

CodeName	Name	Definition
ACTV	Active	Status of the restriction is active.
INAC	Inactive	Status of the restriction is inactive.

76.2.2.220 ReversalCode

Definition: Specifies if an operation is the result of a reversal operation.

Type: CodeSet

CodeName	Name	Definition
RVCD	ReversalCredit	Debit entry used to reverse a previously booked credit entry.

CodeName	Name	Definition
RVDB	ReversalDebit	Credit entry used to reverse a previously booked debit entry.

76.2.2.221 RiskLevel1Code

Definition: Specifies the risk level.

Type: CodeSet

CodeName	Name	Definition
HIGH	High	High.
LOWW	Low	Low.
MEDM	Medium	Medium.

76.2.2.222 RoundingDirection1Code

Definition: Specifies the rounding direction.

Type: CodeSet

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.
STAN	RoundToNearest	Round up or down to the nearest whole number.
DIST	IssueFraction	Do not round.

76.2.2.223 RoundingDirection2Code

Definition: Specifies the rounding direction applied to nearest unit.

Type: CodeSet

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

76.2.2.224 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.

CodeName	Name	Definition
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.

76.2.2.225 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.

76.2.2.226 SecuritiesAccountPurposeType1Code

Definition: Specifies the purpose of the securities account.

Type: CodeSet

CodeName	Name	Definition
MARG	Margin	Account is used when financing is done by the broker.
SHOR	ShortSale	Account is used for short sale orders.
ABRD	Abroad	Account is located in a financial institution outside the country where the transaction is taking place.
CEND	Centralised	Account and all its related positions are held in one location.
DVPA	CashDVP	Account is used for settlement upon delivery, or a collection on a delivery basis.
PHYS	Physical	Account is used for physical domestic safekeeping.

76.2.2.227 SecuritiesBalanceType14Code

Definition: Specifies the type of the securities or investment fund balance.

Type: CodeSet

CodeName	Name	Definition
AWAS	AvailableWithNoAdditionalStatus	Balance of financial instruments that are freely available with no specific additional status.

CodeName	Name	Definition
BTRA	BeingTransferred	Financial instrument is unavailable as a result of a transfer order, pending movement in the shareholders' register.
BLOK	Blocked	Balance of financial instruments that are blocked.
BLOV	BlockedAuthenticity	Balance of financial instruments that are blocked for verification of authenticity.
BLCA	BlockedCorporateAction	Balance of financial instrument blocked following a corporate action, including proxy activities.
BLOT	BlockedTrading	Balance of financial instruments that are blocked for trading.
BORR	Borrowed	Balance of financial instruments that have been borrowed from another party.
OPNT	OverdueNetPending	Net balance of financial instrument that is traded pending settlement and settlement is overdue.
PNET	NetPending	Net balance of financial instrument that is traded pending settlement.
COLI	CollateralIn	Balance of securities that belong to a third party and that are held for the purpose of collateralisation.
COLO	CollateralOut	Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.
MARG	DerivativesMargin	Account is used when financing is by the broker/dealer.
DRAW	Drawn	Settlement transactions relates to drawn securities.
TRAN	InTransshipment	Transaction has been generated due to transformation following a corporate action.
LOAN	OnLoan	Loan for consumption.
REGO	OutForRegistration	Balance of financial instruments currently being processed by the institution responsible for registering the new beneficial owner (or nominee).
BODE	PendingBorrowedDelivery	Balance of financial instruments that are pending delivery in relation to a borrow transaction.
BORE	PendingBorrowedReceipt	Balance of financial instruments that are pending receipt in relation to a borrow transaction.
PEDA	PendingCorporateActionDelivery	Balance of financial instrument pending delivery following a corporate action.
PECA	PendingCorporateActionReceipt	Balance of financial instrument pending receipt following a corporate action.
PEND	PendingDelivery	Processing has not been completed.

CodeName	Name	Definition
LODE	PendingOnLoanDelivery	Balance of financial instruments that are pending delivery in relation to a lending transaction.
LORE	PendingOnLoanReceipt	Balance of financial instruments that are pending receipt in relation to a lending transaction.
PENR	PendingReceipt	The instruction is pending receipt of securities, for example, from a purchase, loan etc.
PLED	Pledged	Balance of securities that belong to and is kept in the safekeeping account indicated within this message, and that are pledged.
RSTR	Restricted	Balance of financial instruments that may only be sold under certain conditions or require legal documents.
OTHR	Unclassified	Other. See Narrative.
WDOC	WaitingDocumentation	Financial instrument is unavailable due to missing or incomplete documentation pertaining to the account, or due to a missing or incomplete order.
GRP1	PurchasedInvestmentFundTaxGroupUnit1	Purchased investment fund units that were purchased prior to the last ex-div date.
GRP2	PurchasedInvestmentFundTaxGroupUnit2	Purchased investment fund units that were purchased since the ex-div date, and that benefit from the tax exemption.

76.2.2.228 SecuritiesBalanceType1Code

Definition: Specifies the nature of the securities or investment fund balance.

Type: CodeSet

CodeName	Name	Definition
BLOK	Blocked	Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order, death of beneficiary or account owner, or bankruptcy.
BORR	Borrowed	Balance of securities that have been borrowed from another party.
COLI	CollateralIn	Balance of securities that belong to a third party and that are held for the purpose of collateralisation.
COLO	CollateralOut	Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.
LOAN	OnLoan	Balance of securities that have been loaned to a third party.

CodeName	Name	Definition
MARG	DerivativesMargin	Balance of securities that are used as collateral for derivatives.
PDMT	PendingDeliveryMatchedBalance	Balance of securities pending delivery that have been matched. This is only applicable in a CSD to participant communication.
PRMT	PendingReceiptMatchedBalance	Balance of securities pending receipt that have been matched. This is only applicable in a CSD to participant communication.
PRUM	PendingReceiptUnmatchedBalance	Balance of securities pending receipt that are unmatched. This is only applicable in a CSD to participant communication.
PECA	PendingCorporateAction	Balance of securities, before ex-date, that are involved in a corporate action (CA). Securities blocked due to a CA, for example, proxy, in escrow, are to be identified in the BLOK sub-balance.
PEND	PendingDelivery	Balance of securities that are pending delivery.
PENR	PendingReceipt	Balance of securities that are pending receipt.
PLED	Pledged	Balance of securities that are pledged, for example, a financial instrument is unavailable because it has been used or given as a guarantee.
PDUM	PendingDeliveryUnmatchedBalance	Balance of securities pending delivery that are unmatched. This is only applicable in a CSD to participant communication.
REGO	OutForRegistration	Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled.
RSTR	Restricted	Balance of securities that may only be sold under certain conditions or require legal documents.
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
TRAN	InTransshipment	Balance of physical securities that are in transshipment, eg, in the process of being transferred from one depository or agent to another.
DRAW	Drawn	Balance of securities that are drawn for redemption.
WDOC	WaitingDocumentation	Financial instrument is unavailable due to missing or incomplete documentation pertaining to the account, or due to a missing or incomplete order.

CodeName	Name	Definition
BTRA	BeingTransferred	Financial instrument is unavailable as a result of a transfer order, pending movement in the shareholders' register.

76.2.2.229 SecuritiesBalanceType2Code

Definition: Specifies the nature of the securities or investment fund balance.

Type: CodeSet

CodeName	Name	Definition
CLEN	TaxExempt	Balance of tax-exempt securities.
DIRT	NonTaxExempt	Balance of taxable securities.
NOMI	Registered	Balance of securities that are registered (in the name of a nominee or of the beneficial owner).
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
SPOS	StreetPosition	Balance of securities that remain registered in the name of the prior beneficial owner of securities.
UNRG	Unregistered	Balance of securities that could not be registered due to foreign ownership limitation.

76.2.2.230 SecuritiesBalanceType3Code

Definition: Specifies the nature of the securities or investment fund balance.

Type: CodeSet

CodeName	Name	Definition
BLOK	Blocked	Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order, death of beneficiary or account owner, or bankruptcy.
BORR	Borrowed	Balance of securities that have been borrowed from another party.
COLI	CollateralIn	Balance of securities that belong to a third party and that are held for the purpose of collateralisation.
COLO	CollateralOut	Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.
LOAN	OnLoan	Balance of securities that have been loaned to a third party.
MARG	DerivativesMargin	Balance of securities that are used as collateral for derivatives.

CodeName	Name	Definition
PDMT	PendingDeliveryMatchedBalance	Balance of securities pending delivery that have been matched. This is only applicable in a CSD to participant communication.
PRMT	PendingReceiptMatchedBalance	Balance of securities pending receipt that have been matched. This is only applicable in a CSD to participant communication.
PRUM	PendingReceiptUnmatchedBalance	Balance of securities pending receipt that are unmatched. This is only applicable in a CSD to participant communication.
PECA	PendingCorporateAction	Balance of securities, before ex-date, that are involved in a corporate action (CA). Securities blocked due to a CA, for example, proxi, in escrow, are to be identified in the BLOK sub-balance.
PEND	PendingDelivery	Balance of securities that are pending delivery.
PENR	PendingReceipt	Balance of securities that are pending receipt.
PLED	Pledged	Balance of securities that are pledged, for example, a financial instrument is unavailable because it has been used or given as a guarantee.
PDUM	PendingDeliveryUnmatchedBalance	Balance of securities pending delivery that are unmatched. This is only applicable in a CSD to participant communication.
REGO	OutForRegistration	Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled.
RSTR	Restricted	Balance of securities that may only be sold under certain conditions or require legal documents.
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
TRAN	InTransshipment	Balance of physical securities that are in transshipment, eg, in the process of being transferred from one depository or agent to another.
DRAW	Drawn	Balance of securities that are drawn for redemption.
WDOC	WaitingDocumentation	Financial instrument is unavailable due to missing or incomplete documentation pertaining to the account, or due to a missing or incomplete order.
BTRA	BeingTransferred	Financial instrument is unavailable as a result of a transfer order, pending movement in the shareholders' register.

CodeName	Name	Definition
SPCM	SidePocketComponent	Investment fund order contains a side pocket component.
HOLD	Holdback	Investment fund order execution subject to redemption proceeds.

76.2.2.231 SecuritiesBalanceType4Code

Definition: Specifies the nature of the securities or investment fund balance.

Type: CodeSet

CodeName	Name	Definition
CLEN	TaxExempt	Balance of tax-exempt securities.
DIRT	NonTaxExempt	Balance of taxable securities.
NOMI	Registered	Balance of securities that are registered (in the name of a nominee or of the beneficial owner).
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
SPOS	StreetPosition	Balance of securities that remain registered in the name of the prior beneficial owner of securities.
UNRG	Unregistered	Balance of securities that could not be registered due to foreign ownership limitation.
SPCM	SidePocketComponent	Investment fund order contains a side pocket component.
HOLD	Holdback	Investment fund order execution subject to redemption proceeds.

76.2.2.232 SenderBusinessRole1Code

Definition: Specifies whether an account owner or account servicer sends the message.

Type: CodeSet

CodeName	Name	Definition
AOWN	AccountOwner	Sender is the owner of the safekeeping account. The sender is disclosing the breakdown of the underlying owners of sender's holdings with the receiver.
ASER	AccountServicer	Sender is the account servicer of an account owned by the receiver.

76.2.2.233 SettledStatusReason2Code

Definition: Partial settlement status information or information about gating.

Type: CodeSet

CodeName	Name	Definition
CPST	CashPartiallySettled	Cash is partially settled.
GATM	GatedMultipleNAV	Redemption has been gated. Multiple redemptions and multiple prices will be required.
GAT1	GatedOneNAV	Redemption has been gated, all settlement will be done at the same price.
UCPS	UnitsCashPartiallySettled	Units and cash are both partially settled.
UPST	UnitsPartiallySettled	Units are partially settled.

76.2.2.234 SettlementDate1Code

Definition: Indicates the date of settlement in coded form.

Type: CodeSet

CodeName	Name	Definition
ASAP	AsSoonAsPossible	Transfer is to be effected as soon as possible.
ENDC	AtEndOfContract	Transfer is to be effected at the end of the contract.
WHIF	WhenAndIfIssued	Settlement takes place when the financial instrument is issued by the issuer.

76.2.2.235 SettlementInstructionReason1Code

Definition: Specifies the type of transaction.

Type: CodeSet

CodeName	Name	Definition
CSHI	AllCredits	Settlement of all credit amounts.
ALLL	AllCreditsAndDebits	Settlement of all credit and debit amounts.
CSHO	AllDebits	Settlement of all debit amounts.
CHAR	Charges	Settlement of charges.
DIVI	Dividend	Settlement of dividends.
INTE	Interest	Settlement of interest.
SAVP	InvestmentSavingsPlan	Settlement of investments to a savings plan.
REDM	Redemption	Settlement of redemptions or redemption legs of a switch transaction.
SAVE	SavingsPlan	Settlement of investments to a savings plan and withdrawals from a savings plan.
BUYI	SecuritiesPurchase	Settlement of securities purchases.
SELL	SecuritiesSale	Settlement of securities sales.

CodeName	Name	Definition
SUBS	Subscription	Settlement of subscriptions or subscription legs of a switch transaction.
WTHP	WithdrawalSavingsPlan	Settlement of withdrawals from a savings plan.
CORP	CorporateAction	Settlement of corporate actions.

76.2.2.236 SettlementTransactionCondition11Code

Definition: Specifies the conditions under which a order/trade is to be settled.

Type: CodeSet

CodeName	Name	Definition
NOMC	NoAutomaticMarketClaim	No market claim should be automatically generated.

76.2.2.237 SignatureType1Code

Definition: Type of signature form.

Type: CodeSet

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

76.2.2.238 SignatureType2Code

Definition: Type of signature.

Type: CodeSet

CodeName	Name	Definition
DIGI	Digital	Technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	Copy of a physical or original signature in an electronic format.
NONE	None	No signature.
ORIG	Original	Written signature. May also be known as a physical or wet signature.

76.2.2.239 SourceOfCash1Code

Definition: Specifies the origin of cash.

Type: CodeSet

CodeName	Name	Definition
ALMY	Alimony	Income as a result of alimony.
CASH	CashProceeds	Income is cash proceeds from customers.
COMP	Compensation	Income is from compensation received.
EMIN	EmployeeIncome	Employee income.
GIFT	Gift	Income was a cash gift.
INHE	Inheritance	Cash from an inheritance.
INLQ	InsurancePremiumLiquidation	Income from the liquidation of an insurance premium.
REST	RealEstateSale	Income from the sale of real estate.
REDM	Redemption	Redemption of an investment fund.
REPY	RetirementPolicy	Income from a retirement policy.
SEAQ	SaleAquisitionCorporation	Sale and acquisition of a corporation.
SALE	SaleOfGoods	Sale of goods.
SVGS	Savings	Income from a savings plan.
SELF	SelfEmploymentIncome	Income from self-employment.
WINS	Winnings	Income from a cash win.

76.2.2.240 StampDutyType2Code

Definition: Specifies if the stamp duty is applicable.

Type: CodeSet

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

76.2.2.241 StatementBasis1Code

Definition: Specifies the type of balances on which the statement is prepared.

Type: CodeSet

CodeName	Name	Definition
CONT	Contractual	The statement is based on contractual settlement date irrespective of settled data positions.
SETT	Settled	The statement is based on settled date positions to the knowledge of the sender at the time of the statement preparation.

CodeName	Name	Definition
TRAD	Traded	The statement is based on trade date positions.

76.2.2.242 StatementType1Code

Definition: Specifies the statement message.

Type: CodeSet

CodeName	Name	Definition
ST03	AccountingHoldings	Accounting Statement of Holdings (semt 003).
ST02	CustodyHoldings	Custody Statement of Holdings (semt 002).
ST06	InvestmentFundTransactions	Statement of Investment Fund Transactions (semt 006).

76.2.2.243 StatementUpdateType1Code

Definition: Specifies the nature of a statement update, for example, it is a complete statement.

Type: CodeSet

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

76.2.2.244 StatementUpdateTypeCode

Definition: Specifies the nature of a statement update, eg, it is a complete statement.

Type: CodeSet

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

76.2.2.245 SuspendedStatusReason3Code

Definition: Specifies the reason for a suspended status.

Type: CodeSet

CodeName	Name	Definition
PRIC	PriceSuspension	There is a suspension of pricing. The order will stay on the books until the next pricing.
FLOW	Overflow	There is a fund overflow.

76.2.2.246 SustainabilityPreferences1Code

Definition: Specifies whether the product is compatible with investors that have sustainability preferences.

Type: CodeSet

CodeName	Name	Definition
CESG	ESGPreference	Preference for products having environmental, social and corporate governance (ESG) characteristics.
NEUT	Neutral	Neutral or has no impact.
OSUS	SustainablePreference	Preference for products having sustainable objectives.

76.2.2.247 TargetMarket1Code

Definition: Specifies whether a financial product is in scope of a target market parameter.

Type: CodeSet

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

76.2.2.248 TargetMarket2Code

Definition: Specifies whether a financial product is in scope of a target market parameter.

Type: CodeSet

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.
YSCO	InScope	Yes, is applicable.

76.2.2.249 TargetMarket3Code

Definition: Specifies whether a financial product is in scope of a target market parameter.

Type: CodeSet

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NSCO	NotInScope	No, is not applicable.

76.2.2.250 TaxableIncomePerShareCalculated1Code

Definition: Specifies whether the fund calculates a taxable interest per share (TIS).

Type: CodeSet

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.
OTHR	Other	Another type of taxable income per share.

76.2.2.251 TaxableIncomePerShareCalculated2Code

Definition: Specifies whether the fund calculates a taxable interest per share (TIS).

Type: CodeSet

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.

76.2.2.252 TaxationBasis2Code

Definition: Specifies the tax basis.

Type: CodeSet

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

76.2.2.253 TaxationBasis3Code

Definition: Specifies the tax basis.

Type: CodeSet

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.
OTHR	Other	Another type of taxation basis.

76.2.2.254 TaxationBasis5Code

Definition: Specifies the tax or charge basis.

Type: CodeSet

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

76.2.2.255 TaxEfficientProductType2Code

Definition: Specifies a type of tax efficient product.

Type: CodeSet

CodeName	Name	Definition
CASH	Cash	Cash individual savings account. In the UK, this is known as a cash ISA.
CLIS	CashLISA	Cash lifetime individual savings account. In the UK, this is known as a cash LISA.
FISA	Flexible	Flexible individual savings account. In the UK, this is known as a FISA.
GISK	GeneralInvestmentSavingsAccount	General investment savings account. (Known as Investeringssparkonto (ISK) in some markets.)
GASK	GeneralShareSavingsAccount	General shares or equity savings account. (Known as ASK in some markets.)
HISA	HelpToBuy	Help to buy individual savings account. In the UK, this is known as a HISA.
INNF	InnovativeFinance	Innovative finance individual savings account. In the UK, this is known as an innovative ISA.
JCSH	JuniorCash	Junior cash individual savings account. In the UK, this is known as a cash JISA.
JISA	JuniorStocksAndSharesISA	Junior stocks and shares individual savings account. In the UK, this is known as a stocks and shares JISA.
LISA	Lifetime	Stocks and shares lifetime individual savings account. In the UK, this is known as a stocks and shares LISA.
CCTF	NonStakeholderChildTrustFund	Non-stakeholder child trust fund individual savings account. In the UK, this is known as a non-stakeholder CTF ISA.
SCTF	StakeholderChildTrustFund	Stakeholder child trust fund individual savings account. In the UK, this is known as a stakeholder CTF ISA.

CodeName	Name	Definition
EQUI	StocksAndShares	Stocks and shares individual savings account. In the UK, this is known as a stocks and shares ISA.

76.2.2.256 TaxExemptReason1Code

Definition: Specifies the reason a specific tax has not been levied/deducted on a given transaction.

Type: CodeSet

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsurancelSA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).

CodeName	Name	Definition
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).

CodeName	Name	Definition
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA (required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

76.2.2.257 TaxExemptReason2Code

Definition: Specifies the reason a specific tax has not been levied/deducted on a given transaction.

Type: CodeSet

CodeName	Name	Definition
NONE	None	Account is not tax exempt.

CodeName	Name	Definition
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsuranceISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).

CodeName	Name	Definition
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed

CodeName	Name	Definition
		upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA (required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).
OTHR	Other	Another type of tax exemption.

76.2.2.258 TaxExemptReason3Code

Definition: Specifies the reason a specific tax has not been levied/deducted on a given transaction.

Type: CodeSet

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed

CodeName	Name	Definition
		annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsurancelSA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).

CodeName	Name	Definition
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA (required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is

CodeName	Name	Definition
		a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).
FORE	Foreigner	Account is for a foreigner for which a tax exemption is permitted.
INCA	Incapacity	Exemption due to incapacitation.
MINO	Minor	Account is for a minor for which a tax exemption is permitted.
ASSO	Association	Account is for an association, for example, a sports club, for which a tax exemption is permitted.
DIPL	Diplomat	Account is for a diplomat for which a tax exemption is permitted.
DOME	Domestic	Account is for two account owners that are both domestic.
FORP	OneOrBothForeign	Account is for two account owners where one or both are foreign.
ORDR	Ordinary	Ordinary reporting.
PENF	PensionFund	Account is for a pension fund for which a tax exemption is permitted.
REFU	Refugee	Account is for a refugee or person without a number assigned by a government organisation, for example, without a Danish Central Securities Number.
RIHO	RightsHolder	Account is for a rights holder.
ADMI	Administrator	Administrator of the account is not the owner.
TANR	TwoNonResident	Two or more of the account owners are foreign residents.
OANR	OneNonResident	One of the account owners is a foreign resident.

76.2.2.259 TaxType11Code

Definition: Specifies the type of tax.

Type: CodeSet

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the

CodeName	Name	Definition
		opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

76.2.2.260 TaxType12Code

Definition: Specifies the type of tax.

Type: CodeSet

CodeName	Name	Definition
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.
MIET	Mietgewinn	Earnings from renting.

76.2.2.261 TaxType16Code

Definition: Specifies the type of tax.

Type: CodeSet

CodeName	Name	Definition
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
LEVY	PaymentLevyTax	Tax levied on a payment.
LOCL	LocalTax	Tax that is charged by a local settlement system or local jurisdiction.
NATI	NationalTax	Tax is a national tax.
PROV	Provincial	Tax is a provincial tax.
STAM	StampDuty	Tax is on certain documents and transactions.
STAT	StateTax	Tax is a state tax.
STEX	StockExchangeTax	Tax collected by a stock exchange.
TRAN	TransferTax	Tax levied on a transfer.
TRAX	TransactionTax	Tax levied on a transaction.
VATA	ValueAddedTax	Tax is a value added tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.

76.2.2.262 TaxType17Code

Definition: Specifies the type of tax.

Type: CodeSet

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.

CodeName	Name	Definition
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new

CodeName	Name	Definition
		Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

76.2.2.263 TaxType5Code

Definition: Specifies the type of tax.

Type: CodeSet

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.

CodeName	Name	Definition
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.
OTHR	Other	Another type of tax.

76.2.2.264 TaxWithholdingMethod3Code

Definition: Specifies the method by which the tax on the interests is to be processed i.e. either withheld at source or reported to tax authorities or a tax certificate has been provided by the beneficiary.

Type: CodeSet

CodeName	Name	Definition
MITX	MinorityInterestTax	Minority interest tax is withheld.
INVE	InvestmentCompany	Withholding tax is applied to an investment company.
ACCT	Accountant	Dividend tax is exempt according to the accountant.
EXMT	Exempt	Dividend tax is exempt.
REPT	ReportTax	Tax information is reported to the tax authorities and therefore not withheld at source.
CRTF	TaxCertificate	Tax certificate is provided by the beneficiary from its tax authority in its country of residence. Therefore, the obligation of withholding tax is waived and tax information will be reported to the tax authorities.
WHCO	WithholdingCorporateTax	Withholding tax is applied to a corporate.
WTHD	WithholdTax	Tax is withheld at source.
WTRE	WithholdTaxAndReport	Tax is withheld at source and the tax information is also reported to the tax authorities.

76.2.2.265 TaxWrapperAmountType1Code

Definition: Specifies a type of amount.

Type: CodeSet

CodeName	Name	Definition
BONU	Bonus	Type of amount is a bonus, for example, a government bonus.
WTHD	Withdrawal	Type of amount is a withdrawal, for example, a withdrawal for a first time residential purchase.

76.2.2.266 TimeFrame2Code

Definition: Specifies a time frame.

Type: CodeSet

CodeName	Name	Definition
HOLD	Hold	Hold to maturity.
LONG	LongTerm	Greater than five years.
MEDM	MediumTerm	Greater than or equal to three years.
SHOR	ShortTerm	Greater than or equal to one year.
VSHT	VeryShortTerm	Less than one year.

76.2.2.267 TradeTransactionCondition5Code

Definition: Specifies the conditions under which the order/trade is to be/was executed.

Type: CodeSet

CodeName	Name	Definition
XCPN	ExCoupon	Indicates whether the trade is executed ex coupon.
CCPN	CumCoupon	Indicates whether the trade is executed cum coupon.

76.2.2.268 TradingCapacity8Code

Definition: Specifies the role of a trading party in a transaction.

Type: CodeSet

CodeName	Name	Definition
AGEN	Agent	Trading as Agent on behalf of a customer.
PRIN	Principal	Trading as Principal.

76.2.2.269 TransactionChannel2Code

Definition: Specifies the type of communication channel.

Type: CodeSet

CodeName	Name	Definition
FIAD	FinancialAdvisor	Financial advisor.
HOBA	HomeBanking	Home banking.
BRAN	OfficeOrBranch	Office or branch.

76.2.2.270 TransactionStatus1Code

Definition: Specifies the processing status of an investment fund transaction.

Type: CodeSet

CodeName	Name	Definition
RVSL	Reversal	Transaction has been reversed.
REBO	Rebooked	Transaction has been rebooked.
CANC	Cancelled	Transaction has been cancelled.

76.2.2.271 TransactionType2Code

Definition: Specifies the type of transaction.

Type: CodeSet

CodeName	Name	Definition
REDM	Redemption	Transaction is a redemption of an investment fund.
SUBS	Subscription	Transaction is a subscription to an investment fund.
SSPL	SubscriptionSavingsPlan	Transaction is a subscription for a savings plan, that is, money set aside by individuals in the framework of a structured plan for a special purpose, for example, retirement.
RWPL	RedemptionWithdrawingPlan	Transaction is a withdrawal by individuals in the framework of a structured plan for investments made in the past.
TRIN	TransferIn	Transaction is an incoming credit to an account on the shareholders register, and is not linked to a shift in investment (subscription or switch), but to account management.
TOUT	TransferOut	Transaction is a debit to an account on the shareholders register, and is not linked to a shift in investment (redemption or switch), but to account management.
SWII	SwitchIn	Transaction is a subscription leg of a switch order execution.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
SUAA	SubscriptionAssetAllocation	Transaction is a subscription in an asset allocation plan that enables investors to

CodeName	Name	Definition
		allocate, by percentage a certain amount of cash into several sub-funds of a same umbrella structure.
REAA	RedemptionAssetAllocation	Transaction is a redemption in an asset allocation plan which enables investors to withdraw, by percentage a certain amount of cash from several sub-funds of a same umbrella structure.

76.2.2.272 TransferInFunction1Code

Definition: Specifies the function of the transfer in.

Type: CodeSet

CodeName	Name	Definition
ADRE	AdviceAndRequest	The transfer-in is an advice and request, that is, the message is used to inform the receiver to expect an unsolicited transfer in confirmation and to request account information for the transfer.
INST	Instruction	The transfer-in is an instruction.

76.2.2.273 TransferInFunction2Code

Definition: Specifies the function of the transfer in confirmation.

Type: CodeSet

CodeName	Name	Definition
CONF	Confirmation	The transfer-in is a confirmation (rather than an advice).
ADVI	Advice	The transfer-in provides advice about account information for a transfer.

76.2.2.274 TransferReason1Code

Definition: Specifies the reason for the assets transfer.

Type: CodeSet

CodeName	Name	Definition
TRAU	UndividedPossession	Transfer is an undivided possession.
TRAC	TransferBetweenSpouses	Transfer is between spouses.
TRAT	Trade	Transfer is a trade.
TRAO	OrdinaryTransfer	Transfer is ordinary.
TRAI	Heritage	Transfer is a heritage.
TRAG	Gift	Transfer is a gift.
TPLD	PledgedAccountTransfer	Transfer to pledged account (in certain circumstances distributors have to freeze and transfer total or partial holding to separate omnibus account e.g.

CodeName	Name	Definition
		investigation required by fiscal authority or police).
TTDT	TDTFrameworkTransfer	Transfer instruction executed within TDT framework (TDT framework is the operation model promoted by the Italian Banking Association for transfer and most of transfers, but not all, will be executed in accordance with that process).
TRPE	TransferBetweenDifferentBeneficiaries	Transfer between different beneficiaries with taxation to be applied (accounts with different owner).
TRAF	Demerger	Transfer is the result of a demerger or division.
TRAN	BetweenOwnAccounts	Transfer is between own accounts.

76.2.2.275 TransferStatus6Code

Definition: Specifies a transfer or settlement instruction status.

Type: CodeSet

CodeName	Name	Definition
PACK	Accepted	Transfer or settlement instruction has been acknowledged / accepted for further processing.
COSE	AlreadyExecuted	Transfer or settlement instruction is fully executed and the confirmation is sent.
COMP	Complete	Portfolio transfer is complete.
DELY	Delayed	Transfer or settlement instruction is delayed.
MACH	Matched	Transfer or settlement instruction is matched.
RECE	Received	Instruction has been received, that is, technical validation of the message is ok, and the message is now at the receiving side.
STNP	SentToNextParty	Transfer or settlement instruction has been sent to the next party, that is, the next intermediary.
SETT	Settled	Transfer or settlement instruction is settled.

76.2.2.276 TransferStatusType2Code

Definition: Specifies a type of transfer status or transfer event.

Type: CodeSet

CodeName	Name	Definition
S019	AccountHoldingInformationRequest	Status report is sent in response to an account holding information request.

CodeName	Name	Definition
BCEV	BenefitCrystallisationEvent	Status report advises one or more Benefit Crystallisation Events (BCE) have occurred.
SETT	CSDorICSDSettlementInformation	Status report is sent to provide information required for a CSD or ICSD settlement leg.
DRAW	Drawdown	Status report advises one or more drawdowns.
PAYA	PaymentAdvice	Status report advises cash is or has been instructed.
S012	PortfolioTransferInstruction	Status report is sent in response to a portfolio transfer instruction.
INFO	Information	Status report is sent to provide information pertinent to the transfer. May be sent in response to a request for transfer status.
STAT	Status	Status report is sent to provide the status of a transfer. May be sent in response to a request for transfer status.
S005	TransferInInstruction	Status report is sent in response to a transfer-in instruction.
S001	TransferOutInstruction	Status report is sent in response to a transfer-out instruction.
CONV	ConversionStatus	Status report is sent to provide the number of units following a conversion.

76.2.2.277 TransferType4Code

Definition: Specifies whether a financial instrument is transferred as an asset or as cash.

Type: CodeSet

CodeName	Name	Definition
CASH	Cash	Transfer as cash.
CONV	Conversion	ISIN is converted to another ISIN and then transferred.
EXCL	Excluded	Asset excluded from transfer.
SECU	InSpecie	Transfer the security as an asset in specie, that is, 'in its actual form'.

76.2.2.278 TransferUnmatchedReason3Code

Definition: Specifies the reason the transaction, transfer or settlement instruction is unmatched.

Type: CodeSet

CodeName	Name	Definition
CMIS	NoMatch	No potential match has been found.
CPCA	CounterpartyCancelled	Counterparty has cancelled the transaction/instruction.

CodeName	Name	Definition
DELN	TransactionDirection	Direction of transaction does not match: delivery instead of receipt or vice versa.
DSEC	FinancialInstrument	Financial instrument identification does not match or a financial instrument attribute differs.
PHYS	PhysicalSettlement	Settlement does not match: counterparty's instruction is for physical settlement, your instruction is not, or vice versa.
PODU	Duplicate	Instruction has not been matched: it is a possible duplicate instruction.
DEPT	SettlementPlace	Place of settlement does not match.
DDAT	SettlementDate	Settlement date or transfer date does not match.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity does not match.
ICUS	ReceivingOrDeliveringCustodian	Delivering or receiving custodian does not match.
SAFE	SafekeepingAccount	Safekeeping account used as a matching criteria on the market concerned does not match.

76.2.2.279 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.

76.2.2.280 TypeOfPrice10Code

Definition: Specifies the type of price.

Type: CodeSet

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.

76.2.2.281 TypeOfPrice11Code

Definition: Specifies the type of price and information about the price.

Type: CodeSet

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
MRKT	Market	Price is the current market price.
INDC	Indicative	Price is the estimated indicative price.

76.2.2.282 TypeOfPrice13Code

Definition: Specifies the type of price and information about the price.

Type: CodeSet

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
NAVS	SidePocketNAV	Price is the estimated net asset value for the side pocket.
SWIC	Switch	Price is the price used when transferring units between products.
GAVL	GrossAssetValue	Price is the gross asset value per unit and includes the performance fee per share. It is used as the transacting price for a fund with equalisation. GAVL price minus the NAVL price = performance fee.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing

CodeName	Name	Definition
		day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
EGAV	EstimatedGAV	Price is the estimated gross asset value per unit and includes the performance fee per share. It is used as the transacting price for a fund with equalisation. GAVL price minus the NAVL price = performance fee.

76.2.2.283 TypeOfPrice6Code

Definition: Specifies the type of price.

Type: CodeSet

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.

CodeName	Name	Definition
OTHR	Other	Price is another type of price, which is not explicitly defined.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
NAUP	NonAdjustedUnpublished	The original NAV before the price of the investment fund was swung.

76.2.2.284 TypeOfPrice7Code

Definition: Specifies the type of price.

Type: CodeSet

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.

CodeName	Name	Definition
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
OTHR	Other	Price is another type of price, which is not explicitly defined.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.

76.2.2.285 TypeOfPrice8Code

Definition: Specifies the type of price.

Type: CodeSet

CodeName	Name	Definition
ACTU	Actual	True offer price.

76.2.2.286 TypeOfPrice9Code

Definition: Specifies the type of price.

Type: CodeSet

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest

CodeName	Name	Definition
		possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
NAUP	NonAdjustedUnpublished	The original NAV before the price of the investment fund was swung.
GUAR	Guaranteed	Price is a guaranteed price.
ENAV	EstimatedNAV	Price is an estimated net asset value per unit.

76.2.2.287 TypeOfRequest1Code

Definition: Specifies a type of request.

Type: CodeSet

CodeName	Name	Definition
INFO	Information	Request for information.
STAT	Status	Request for status.

76.2.2.288 UKTaxGroupUnit1Code

Definition: Specifies the UK tax group to which units belong. For UK tax, the first dividend that an investor receives from a funds investment is deemed to be part income and part return of capital. The capital element is 'equalisation', and is exempt from income tax.

Type: CodeSet

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

Restricts

[UKTaxGroupUnitCode on page 3390](#)

76.2.2.289 UKTaxGroupUnitCode

Definition: Specifies the UK tax group to which units belong. For UK tax, the first dividend that an investor receives from a funds investment is deemed to be part income and part return of capital. The capital element is 'equalisation', and is exempt from income tax.

Type: CodeSet

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

Is restricted by

[UKTaxGroupUnit1Code on page 3390](#)

76.2.2.290 ValuationTiming1Code

Definition: Specifies how the price valuation timing is done based on the timeline defined in the prospectus.

Type: CodeSet

CodeName	Name	Definition
EXCP	Exceptional	Price valuation is done exceptionally, outside the timeframe specified in the prospectus.
USUA	Usual	Price valuation is done within the timeframe specified in the prospectus.
PATC	Particular	Price valuation that is done outside the usual timeframe, but in conformance with a case specified in the prospectus, eg, market closing day.

76.2.2.291 WaivingInstruction1Code

Definition: Specifies the form of the rebate when commission is waived.

Type: CodeSet

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

76.2.2.292 WaivingInstruction2Code

Definition: Specifies the form of the rebate when commission is waived.

Type: CodeSet

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.
OTHR	Other	Another type of commission waiving.

76.2.3 Date

76.2.3.1 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

76.2.4 DateTime

76.2.4.1 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

76.2.5 IdentifierSet

76.2.5.1 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**

(Rule)

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.

Error handling:

- Error severity: Fatal
- Error Code: D00008
- Error Text: Invalid BIC.

76.2.5.2 AnyBICIdentifier

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Type: IdentifierSet

Identification scheme: SWIFT; AnyBICIdentifier

Format

pattern [A-Z]{6,6}[A-Z2-9][A-NP-Z0-9]([A-Z0-9]{3,3}){0,1}

Constraints

- **AnyBIC**

(Rule)

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

76.2.5.3 AustrianBankleitzahlIdentifier

Definition: Austrian Bankleitzahl. Identifies Austrian financial institutions on the Austrian national clearing system.

Type: IdentifierSet

Identification scheme: Oesterreichische NationalBank; Austrian Bankleitzahl

Format

pattern AT[0-9]{5,5}

76.2.5.4 BBANIdentifier

Definition: Basic Bank Account Number (BBAN). Identifier used nationally by financial institutions, ie, in individual countries, generally as part of a National Account Numbering Scheme(s), which uniquely identifies the account of a customer.

Type: IdentifierSet

Identification scheme: National Banking Association; Basic Bank Account Number

Format

pattern [a-zA-Z0-9]{1,30}

76.2.5.5 BelgianIdentifier

Definition: Identifier for Belgian securities.

Type: IdentifierSet

Identification scheme: The Belgian identifier for securities.

76.2.5.6 BICFIDec2014Identifier

Definition: Code allocated to a financial institution by the ISO 9362 Registration Authority as described in ISO 9362: 2014 - "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Type: IdentifierSet

Identification scheme: SWIFT; BICIdentifier

Format

pattern [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{2,2}([A-Z0-9]{3,3}){0,1}

Constraints

- **BICFI**

(Rule)

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

76.2.5.7 BICFIIdentifier

Definition: Code allocated to a financial institution by the ISO 9362 Registration Authority as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Type: IdentifierSet

Identification scheme: SWIFT; BICIdentifier

Format

pattern [A-Z]{6,6}[A-Z2-9][A-NP-Z0-9]([A-Z0-9]{3,3}){0,1}

Constraints

- **BICFI**

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

76.2.5.8 BICIdentifier

Definition: Code allocated to a financial institution by the ISO 9362 Registration Authority as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Type: IdentifierSet

Identification scheme: SWIFT; BICIdentifier

Format

pattern [A-Z]{6,6}[A-Z2-9][A-NP-Z0-9]([A-Z0-9]{3,3}){0,1}

Constraints

- **BIC**

(Rule)

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid BIC Code

76.2.5.9 Bloomberg2Identifier

Definition: An identifier of a security assigned by the Bloomberg organisation.

Type: IdentifierSet

Identification scheme: Bloomberg; BloombergIdentifier

Format

pattern (BBG)[BCDFGHJKLMNPQRSTVWXYZ\d]{8}\d

76.2.5.10 BloombergIdentifier

Definition: An identifier of a security assigned by the Bloomberg organisation.

Type: IdentifierSet

Identification scheme: Bloomberg; BloombergIdentifier

Format

minLength	1
maxLength	35

76.2.5.11 CanadianPaymentsARNIdentifier

Definition: Canadian Payments Association Routing Number. Identifies Canadian financial institutions on the Canadian national clearing system.

Type: IdentifierSet

Identification scheme: Candian Payment Association; Payment Routing Number

Format

pattern CA[0-9]{9,9}

76.2.5.12 CFIOct2015Identifier

Definition: Classification type of the financial instrument, as per the ISO 10962 Classification of Financial Instrument (CFI) codification, for example, common share with voting rights, fully paid, or registered.

Type: IdentifierSet

Identification scheme: ANNA; CFIdentifier

Format

pattern [A-Z]{6,6}

76.2.5.13 CHIPSParticipantIdentifier

Definition: (United States) Clearing House Interbank Payment System (CHIPS) Participant Identifier (ID). Identifies financial institutions participating on CHIPS. The CHIPS Participant ID is assigned by the New York Clearing House.

Type: IdentifierSet

Identification scheme: American Banker's Association (ABA); CHIPS Participant Number

Format

pattern CP[0-9]{4,4}

76.2.5.14 CHIPSUniversalIdentifier

Definition: (United States) Clearing House Interbank Payments System (CHIPS) Universal Identification (UID). Identifies entities that own accounts at CHIPS participating financial institutions, through which CHIPS payments are effected. The CHIPS UID is assigned by the New York Clearing House.

Type: IdentifierSet

Identification scheme: American Banker's Association (ABA); CHIPS UID

Format

pattern CH[0-9]{6,6}

76.2.5.15 ConsolidatedTapeAssociationIdentifier

Definition: Identifier of a security assigned by the Consolidated Tape Association.

Type: IdentifierSet

Identification scheme: CTAIdentifier; CTAIdentifier

Format

minLength 1
maxLength 35

76.2.5.16 CUSIPIdentifier

Definition: Committee on Uniform Securities and Identification Procedures (CUSIP). The standards body that created and maintains the securities classification system in the US. Non-US securities have a similar number called the CINS number.

Type: IdentifierSet

Identification scheme: Standards and Poor's CUSIP Service Bureau; CUSIPIdentifier

76.2.5.17 DutchIdentifier

Definition: Identifier for Dutch securities.

Type: IdentifierSet

Identification scheme: Dutch agency; DutchIdentifier

76.2.5.18 EuroclearClearstreamIdentifier

Definition: Identifier of securities issued in Luxembourg. The common code is a 9-digit code that replaces the CEDEL (Clearstream) and Euroclear codes.

Type: IdentifierSet

Identification scheme: Clearstream; EuroclearClearstreamIdentifier

Format

minLength	1
maxLength	12

76.2.5.19 ExtensiveBranchNetworkIdentifier

Definition: The extensive branch network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

Type: IdentifierSet

Identification scheme: Australian Payments Clearing Association (APCA); Australian BSB

Format

pattern	AU[0-9]{6,6}
---------	--------------

76.2.5.20 FedwireRoutingNumberIdentifier

Definition: Fedwire Routing Number. Identifies financial institutions, in the US, on the FedWire system. The routing number is assigned by the American Bankers Association (ABA).

Type: IdentifierSet

Identification scheme: US Federal Reserve Bank ; FedwireRoutingNumberIdentifier

Format

pattern	FW[0-9]{9,9}
---------	--------------

76.2.5.21 GermanBankleitzahlIdentifier

Definition: German Bankleitzahl. Identifies German financial institutions on the German national clearing systems.

Type: IdentifierSet

Identification scheme: Deutsche Bundesbank ; German Bankleitzahl

Format

pattern BL[0-9]{8,8}

76.2.5.22 HellenicBankIdentificationCodeIdentifier

Definition: Hellenic Bank Identification Code Identifier. Identifies Greek financial institutions on the Greek national clearing system.

Type: IdentifierSet

Identification scheme: Hellenic Central Bank; Payment Routing Number

Format

pattern GR[0-9]{7,7}

76.2.5.23 HongKongBankIdentifier

Definition: Hong Kong Bank Code. Identifies Hong Kong financial institutions on the Hong Kong local clearing system.

Type: IdentifierSet

Identification scheme: Hong Kong Interbank Clearing Ltd (HKICL); Bank Code of Hong Kong

Format

pattern HK[0-9]{3,3}

76.2.5.24 IBAN2007Identifier

Definition: The International Bank Account Number is a code used internationally by financial institutions to uniquely identify the account of a customer at a financial institution as described in the 2007 edition of the ISO 13616 standard "Banking and related financial services - International Bank Account Number (IBAN)" and replaced by the more recent edition of the standard.

Type: IdentifierSet

Identification scheme: National Banking Association; International Bank Account Number (ISO 13616)

Format

pattern [A-Z]{2,2}[0-9]{2,2}[a-zA-Z0-9]{1,30}

Constraints

• **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00003

- *Error Text*: Invalid IBAN format or invalid check digits.

76.2.5.25 IBANIdentifier

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. "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-zA-Z]{2,2}[0-9]{2,2}[a-zA-Z0-9]{1,30}

Constraints

- **IBAN**

(Rule)

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

Error handling:

- *Error severity*: Fatal
- *Error Code*: D00003
- *Error Text*: Invalid IBAN format or invalid check digits

76.2.5.26 IndianFinancialSystemCodeIdentifier

Definition: Indian Financial System Code Identifier. Identifies Indian financial institutions on the Indian national clearing system.

Type: IdentifierSet

Identification scheme: Indian Financial System; Payment Routing Number

Format

pattern IN[a-zA-Z0-9]{11,11}

76.2.5.27 IrishNSCIdentifier

Definition: Irish National Sorting Code. Identifies Irish financial institutions on the Irish national clearing system.

Type: IdentifierSet

Identification scheme: Irish Payment Services Organisation (IPSO); Irish National Sort Code

Format

pattern IE[0-9]{6,6}

76.2.5.28 ISINIdentifier

Definition: International Securities Identification Number (ISIN). A numbering system designed by the United Nation's International Organisation for Standardisation (ISO). The ISIN is composed of a 2-character prefix representing the country of issue, followed by the national security number (if one exists), and a check digit. Each country has a national numbering agency that assigns ISIN numbers for securities in that country.

Type: IdentifierSet

Identification scheme: ANNA; ISINIdentifier

Format

pattern [A-Z0-9]{12,12}

76.2.5.29 ISINOct2015Identifier

Definition: The International Securities Identification Number is a code allocated to financial instruments as well as referential instruments, as described in the ISO 6166 standard, associated with the minimum descriptive data. The ISIN consists of a prefix using the alpha-2 country codes or reserved codes specified in ISO 3166 or other prefixes as may be determined by the Registration Authority for the ISO 6166 standard, a nine characters (alphanumeric) basic code and a check digit.

Type: IdentifierSet

Identification scheme: ANNA; ISINIdentifier

Format

pattern [A-Z]{2,2}[A-Z0-9]{9,9}[0-9]{1,1}

76.2.5.30 ItalianDomesticIdentifier

Definition: Italian Domestic Identification Code. Identifies Italian financial institutions on the Italian national clearing system. The code is assigned by the Associazione Bancaria Italiana (ABI).

Type: IdentifierSet

Identification scheme: Associazione Bancaria Italiana; Italian Domestic Identification

Format

pattern IT[0-9]{10,10}

76.2.5.31 LEIIdentifier

Definition: Legal Entity Identifier is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Type: IdentifierSet

Identification scheme: Global LEI System; LEIIdentifier

Format

pattern [A-Z0-9]{18,18}[0-9]{2,2}

76.2.5.32 MICIdentifier

Definition: Market Identifier Code. The identification of a financial market, as stipulated in the norm ISO 10383 'Codes for exchanges and market identifications'.

Type: IdentifierSet

Identification scheme: SWIFT; MICIdentifier

Format

pattern [A-Z0-9]{4,4}

76.2.5.33 NewZealandNCCIdentifier

Definition: New Zealand Bank/Branch Code. Identifies New Zealand institutions on the New Zealand national clearing system. The code is assigned by the New Zealand Bankers' Association (NZBA).

Type: IdentifierSet

Identification scheme: New Zealand Bankers Association; NewZealandNCC

Format

pattern NZ[0-9]{6,6}

76.2.5.34 PolishNationalClearingCodeIdentifier

Definition: Polish National Clearing Code Identifier. Identifies Polish financial institutions on the Polish national clearing system.

Type: IdentifierSet

Identification scheme: Polish Central Bank; Payment Routing Number

Format

pattern PL[0-9]{8,8}

76.2.5.35 PortugueseNCCIdentifier

Definition: Portuguese National Clearing Code. Identifies Portuguese financial institutions on the Portuguese national clearing system.

Type: IdentifierSet

Identification scheme: Banco de Portugal; PortugueseNCC

Format

pattern PT[0-9]{8,8}

76.2.5.36 QUICKIdentifier

Definition: Identifier of a security assigned by the Japanese QUICK identification scheme for financial instruments.

Type: IdentifierSet

Identification scheme: QUICK; QUICKIdentifier

76.2.5.37 RICIdentifier

Definition: Reuters Identification Code (RIC). A numbering system used within the Reuters system to identify instruments worldwide. The RIC contains an X-character market specific code (can be the CUSIP or EPIC codes) followed by a full stop, then the two-digit ISO country code, for example, IBM in UK is IBM.UK.

Type: IdentifierSet

Identification scheme: REUTERS ; REUTERSIdentifier

Format

minLength	1
maxLength	35

76.2.5.38 RussianCentralBankIdentificationCodeIdentifier

Definition: Russian Central Bank Identification Code. Identifies Russian financial institutions on the Russian national clearing system.

Type: IdentifierSet

Identification scheme: Central Bank of Russia; RussianCentralBankIdentificationCode

Format

pattern	RU[0-9]{9,9}
---------	--------------

76.2.5.39 SEDOLIdentifier

Definition: Stock Exchange Daily Official List (SEDOL) number. A code used by the London Stock Exchange to identify foreign stocks, especially those that aren't actively traded in the US and don't have a CUSIP number.

Type: IdentifierSet

Identification scheme: London Stock Exchange; SEDOLIdentifier

76.2.5.40 SicovamIdentifier

Definition: Identifier for French securities assigned by the Societe Interprofessionnelle Pour La Compensation des Valeurs Mobilieres in France. The Sicovam is composed of 5-digits.

Type: IdentifierSet

Identification scheme: Sicovam; SicovamIdentifier

76.2.5.41 SmallNetworkIdentifier

Definition: The small network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

Type: IdentifierSet

Identification scheme: Australian Payments Clearing Association (APCA); Australian BSB

Format

pattern AU[0-9]{6,6}

76.2.5.42 SouthAfricanNCCIdentifier

Definition: South African National Clearing Code (NCC). Identifies South African financial institutions on the South African national clearing system. The code is assigned by the South African Bankers Services Company Ltd. (BankServ).

Type: IdentifierSet

Identification scheme: South African Bankers Services Company Ltd (Bank Serv); South African National Clearing system Code

Format

pattern ZA[0-9]{6,6}

76.2.5.43 SpanishDomesticInterbankingIdentifier

Definition: Spanish Domestic Interbanking Code. Identifies Spanish financial institutions on the Spanish national clearing system. The code is assigned by the Centro de Cooperacion Interbancaria (CCI).

Type: IdentifierSet

Identification scheme: Centro de Cooperacion Interbancaria (CCI); Spanish Domestic Interbanking Identifier

Format

pattern ES[0-9]{8,9}

76.2.5.44 SwissBCIdentifier

Definition: Swiss Bank Code. Identifies Swiss institutions on the Swiss national clearing system.

Type: IdentifierSet

Identification scheme: Swiss Interbank Clearing Ltd; BC Identifier

Format

pattern SW[0-9]{3,5}

76.2.5.45 SwissSICIdentifier

Definition: Swiss Interbank Clearing (SIC) Code. Identifies Swiss financial institutions domestically, on the Swiss national clearing system.

Type: IdentifierSet

Identification scheme: Swiss Interbank Clearing Ltd; SIC Identifier

Format

pattern SW[0-9]{6,6}

76.2.5.46 TickerIdentifier

Definition: Letters that identify a stock traded on a stock exchange. The Ticker Symbol is a short and convenient way of identifying a stock, for example, RTR.L for Reuters quoted in London.

Type: IdentifierSet

Identification scheme: Bloomberg; BloombergIdentifier

Format

minLength	1
maxLength	35

76.2.5.47 UKDomesticSortCodeIdentifier

Definition: United Kingdom (UK) Sort Code. Identifies British financial institutions on the British national clearing systems. The sort code is assigned by the Association for Payments and Clearing Services (APACS).

Type: IdentifierSet

Identification scheme: Association for Payment Clearing Services (APACS); UK Sort Code

Format

pattern	SC[0-9]{6,6}
---------	--------------

76.2.5.48 UPICIdentifier

Definition: Universal Payment Identification Code (UPIC). Identifier used by the New York Clearing House to mask confidential data, such as bank accounts and bank routing numbers. UPIC numbers remain with business customers, regardless of banking relationship changes.

Type: IdentifierSet

Identification scheme: The Clearing House (formerly The New York Clearing House); Universal Payment Identification Code

Format

pattern	[0-9]{8,17}
---------	-------------

76.2.5.49 ValorenIdentifier

Definition: Identifier for Swiss securities assigned by Telekurs Financial, the Swiss numbering agency.

Type: IdentifierSet

Identification scheme: Valoren; ValorenIdentifier

76.2.5.50 WertpapierIdentifier

Definition: Wertpapier Kenn-nummer. A number issued in Germany by the Wertpapier Mitteilungen. The Wertpapier Kenn-nummer, sometimes called WPK, contains 6-digits, but no check digit. There are different ranges of numbers representing different classes of securities.

Type: IdentifierSet

Identification scheme: Wertpapier; WertpapierIdentifier

76.2.6 Indicator

76.2.6.1 PlusOrMinusIndicator

Definition: Indicates a positive or negative value.

Type: Indicator

Meaning When True: Plus

Meaning When False: Minus

76.2.6.2 YesNoIndicator

Definition: Indicates a "Yes" or "No" type of answer for an element.

Type: Indicator

Meaning When True: Yes

Meaning When False: No

76.2.7 Quantity

76.2.7.1 DecimalNumber

Definition: Number of objects represented as a decimal number, for example 0.75 or 45.6.

Type: Quantity

Format

totalDigits	18
fractionDigits	17

76.2.7.2 Max1Number

Definition: Number (max 9) of objects represented as an integer.

Type: Quantity

Format

totalDigits	1
fractionDigits	0

76.2.7.3 Number

Definition: Number of objects represented as an integer.

Type: Quantity

Format

totalDigits	18
fractionDigits	0

76.2.8 Rate

76.2.8.1 BaseOneRate

Definition: Rate expressed as a decimal, for example, 0.7 is 7/10 and 70%.

Type: Rate

Format

totalDigits	11
fractionDigits	10
baseValue	1.0

76.2.8.2 PercentageBoundedRate

Definition: Rate expressed as a percentage, ie, in hundredths, eg, 0.7 is 7/10 of a percent, and 7.0 is 7%.

Type: Rate

Format

minInclusive	0
maxInclusive	100
totalDigits	11
fractionDigits	10
baseValue	100.0

76.2.8.3 PercentageRate

Definition: Rate expressed as a percentage, that is, in hundredths, for example, 0.7 is 7/10 of a percent, and 7.0 is 7%.

Type: Rate

Format

totalDigits	11
fractionDigits	10
baseValue	100.0

76.2.9 Text

76.2.9.1 Exact3NumericText

Definition: Specifies a numeric string with an exact length of 3 digits.

Type: Text

Format

pattern [0-9]{3}

76.2.9.2 Exact4AlphaNumericText

Definition: Specifies an alphanumeric string with a length of 4 characters.

Type: Text

Format

pattern [a-zA-Z0-9]{4}

76.2.9.3 Exact5NumericText

Definition: Specifies a numeric string with an exact length of 5 digits.

Type: Text

Format

pattern [0-9]{5}

76.2.9.4 Extended350Code

Definition: Code and / or description for values that are not yet part of the related code list.

Type: Text

Format

minLength 1
maxLength 350

76.2.9.5 Max10Text

Definition: Specifies a character string with a maximum length of 10 characters.

Type: Text

Format

minLength 1
maxLength 10

76.2.9.6 Max140Text

Definition: Specifies a character string with a maximum length of 140 characters.

Type: Text

Format

minLength 1
maxLength 140

76.2.9.7 Max15NumericText

Definition: Specifies a numeric string with a maximum length of 15 digits.

Type: Text

Format

pattern	[0-9]{1,15}
---------	-------------

76.2.9.8 Max16Text

Definition: Specifies a character string with a maximum length of 16 characters.

Type: Text

Format

minLength	1
maxLength	16

76.2.9.9 Max2048Text

Definition: Specifies a character string with a maximum length of 2048 characters.

Type: Text

Format

minLength	1
maxLength	2048

76.2.9.10 Max210Text

Definition: Specifies a character string with a maximum length of 210 characters.

Type: Text

Format

minLength	1
maxLength	210

76.2.9.11 Max256Text

Definition: Specifies a character string with a maximum length of 256 characters.

Type: Text

Format

minLength	1
maxLength	256

76.2.9.12 Max34Text

Definition: Specifies a character string with a maximum length of 34 characters.

Type: Text

Format

minLength	1
maxLength	34

76.2.9.13 Max350Text

Definition: Specifies a character string with a maximum length of 350 characters.

Type: Text

Format

minLength	1
maxLength	350

76.2.9.14 Max35Text

Definition: Specifies a character string with a maximum length of 35 characters.

Type: Text

Format

minLength	1
maxLength	35

76.2.9.15 Max3Text

Definition: Specifies a character string with a maximum length of 3 characters.

Type: Text

Format

minLength	1
maxLength	3

76.2.9.16 Max4AlphaNumericText

Definition: Specifies an alphanumeric string with a maximum length of 4 characters.

Type: Text

Format

minLength	1
maxLength	4
pattern	[a-zA-Z0-9]{1,4}

76.2.9.17 Max5NumericText

Definition: Specifies a numeric string with a maximum length of 5 digits.

Type: Text

Format

pattern [0-9]{1,5}

76.2.9.18 Max70Text

Definition: Specifies a character string with a maximum length of 70 characters.

Type: Text

Format

minLength 1
maxLength 70

76.2.9.19 Max8Text

Definition: Specifies a character string with a maximum length of 8 characters.

Type: Text

Format

minLength 1
maxLength 8

76.2.9.20 PhoneNumber

Definition: The collection of information which identifies a specific phone or FAX number as defined by telecom services.

It consists of a "+" followed by the country code (from 1 to 3 characters) then a "-" and finally, any combination of numbers, "(", ")", "+" and "-" (up to 30 characters).

Type: Text

Format

pattern \+[0-9]{1,3}-[0-9()+-]{1,30}

76.2.9.21 PreviousAll

Definition: Indicates that the investment plan issued during all the previous years have to be transferred.

Type: Text

Format

pattern ALL

76.2.10 Time

76.2.10.1 ISOTime

Definition: A particular point in the progression of time in a calendar day expressed in either UTC time format (hh:mm:ss.sssZ), local time with UTC offset format (hh:mm:ss.sss+/-hh:mm), or local time format (hh:mm:ss.sss). These representations are defined in "XML Schema Part 2: Datatypes Second Edition - W3C Recommendation 28 October 2004" which is aligned with ISO 8601.

Note on the time format:

1) beginning / end of calendar day

00:00:00 = the beginning of a calendar day

24:00:00 = the end of a calendar day

2) fractions of second in time format

Decimal fractions of seconds may be included. In this case, the involved parties shall agree on the maximum number of digits that are allowed.

Type: Time

76.2.11 Year

76.2.11.1 ISOYear

Definition: Year represented by YYYY (ISO 8601).

Type: Year

76.2.12 YearMonth

76.2.12.1 ISOYearMonth

Definition: Month within a particular calendar year represented by YYYY-MM (ISO 8601).

Type: YearMonth

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