



Standards

Shareholder Identification Disclosure November 2023

Standards MX

Message Definition Report - Part 1

This document provides information about the use of the messages for Shareholder Identification Disclosure and includes, for example, business scenarios and messages flows.

24 February 2023

Table of Contents

Table of Contents	2
1 Introduction.....	3
1.1 Terms and Definitions	3
1.2 Abbreviations and Acronyms	3
1.3 Document Scope and Objectives.....	4
1.4 References.....	4
2 Scope and Functionality	5
2.1 Background	5
2.2 Scope	5
2.3 Groups of MessageDefinitions and Functionality	7
3 BusinessRoles and Participants.....	9
3.1 Participants and BusinessRoles Definitions.....	9
3.2 BusinessRoles and Participants Table	10
4 BusinessProcess Description.....	11
5 Description of BusinessActivities	12
5.1 Shareholders Identification Disclosure.....	12
6 BusinessTransactions	14
6.1 Disclosure Request Scenario.....	14
6.2 Disclosure Cancellation Scenario	15
6.3 Disclosure Response Cancellation Scenario	15
7 Business Examples.....	17
7.1 ShareholderIdentificationDisclosureRequest - seev.045.001.04	17
7.2 ShareholderIdentificationDisclosureRequestCancellationAdvice - seev.046.001.01	20
7.3 ShareholderIdentificationDisclosureResponse - seev.047.001.02	22
7.4 ShareholderIdentificationDisclosureResponseCancellationAdvice - seev.048.001.01	29
7.5 ShareholderIdentificationDisclosureResponseStatusAdvice - seev.049.001.01	31
7.6 SecuritiesMessageRejection - semt.001.001.04	33
Legal Notices	35

1 Introduction

1.1 Terms and Definitions

The following terms are reserved words defined in ISO 20022 Edition 2013 – Part1. When used in this document, the UpperCamelCase notation is followed.

Term	Definition
BusinessRole	Functional role played by a business actor in a particular BusinessProcess or BusinessTransaction.
Participant	Involvement of a BusinessRole in a BusinessTransaction.
BusinessProcess	Definition of the business activities undertaken by BusinessRoles within a BusinessArea whereby each BusinessProcess fulfils one type of business activity and whereby a BusinessProcess may include and extend other BusinessProcesses.
BusinessTransaction	Particular solution that meets the communication requirements and the interaction requirements of a particular BusinessProcess and BusinessArea.
MessageDefinition	Formal description of the structure of a message instance.

Note When a MessageDefinition or message identifier is specified, it should include the variant and version number. However, in this document (except in the business examples section, if present), variant and version numbers are not included. In order to know the correct variant and version number for a MessageDefinition, the related Message Definition Report Part 2 document should be consulted.

1.2 Abbreviations and Acronyms

The following is a list of abbreviations and acronyms used in the document.

Abbreviation/Acronyms	Definition
ACK	Acknowledgement
AML	Anti-Money Laundering
BIC	Business Identifier Code
CSD	Central Securities Depository
CUG	Closed User Group
IBAN	International Bank Account Number
ICSD	International Central Securities Depository
KYC	Know Your Customer
MCR	Message Change Request
MDR	Message Definition Report
NAK	Negative acknowledge (reject)
SEG	Standards Evaluation Group
SLA	Service Level Agreement
SMPG	Securities Market Practice Group (www.smpg.info)

Abbreviation/Acronyms	Definition
XML	eXtensible Mark-up Language

1.3 Document Scope and Objectives

This document is the first part of the Shareholder Identification Disclosure Message Definition Report (MDR) that describes the BusinessTransactions and underlying message set. For the sake of completeness, the document may also describe BusinessActivities that are not in the scope of the business processes covered in this document.

This document describes the following:

- the BusinessProcess scope
- the BusinessRoles involved in these BusinessProcesses

The main objectives of this document are as follows:

- to provide information about the messages that support the business processes
- to explain the BusinessProcesses and BusinessActivities these messages have addressed
- to give a high-level description of BusinessProcesses and the associated BusinessRoles
- to document the BusinessTransactions
- to provide business examples

The messages definitions are specified in the Corporate Actions Message Definition Report Part 2.

1.4 References

Document	Version	Date	Author
ISO 20022 Business Justification - Shareholder Identity Disclosure (BJ 142)		2019-10-03	SMPG & SWIFT
EU Implementing Regulation 2018/1212		2018-09-03	EC
EU Directive 2017/828		2017-05-17	EC
ISO Shareholders Identification Disclosure Maintenance MCR 2022/2023		2022-09-05	SWIFT

2 Scope and Functionality

2.1 Background

This Message Definition Report covers a set of six ISO 20022 message definitions developed by SWIFT and the SMPG in close collaboration with the participants to the European Industry Group for shareholder identification, general meeting and corporate action set up in 2019 with the objective to drive the implementation of communication solutions for the transmission of information in ISO 20022 in support of the EU Implementing Regulation 2018/1212 complementing the EU Shareholder Rights Directive II [Directive (EU) 2017/828].

This Message Definition Report was approved by the Securities Standards Evaluation Group (SEG) on the 19th of January 2023.

These six messages were specifically designed to provide a communication solution to support the business processes and activities required for the disclosure of shareholder identification in the context of the shareholder rights directive II. These six messages are designed so as to be fully compliant with the minimum requirements set out in the tables of the annex of the Implementing Regulation 2018/1212.

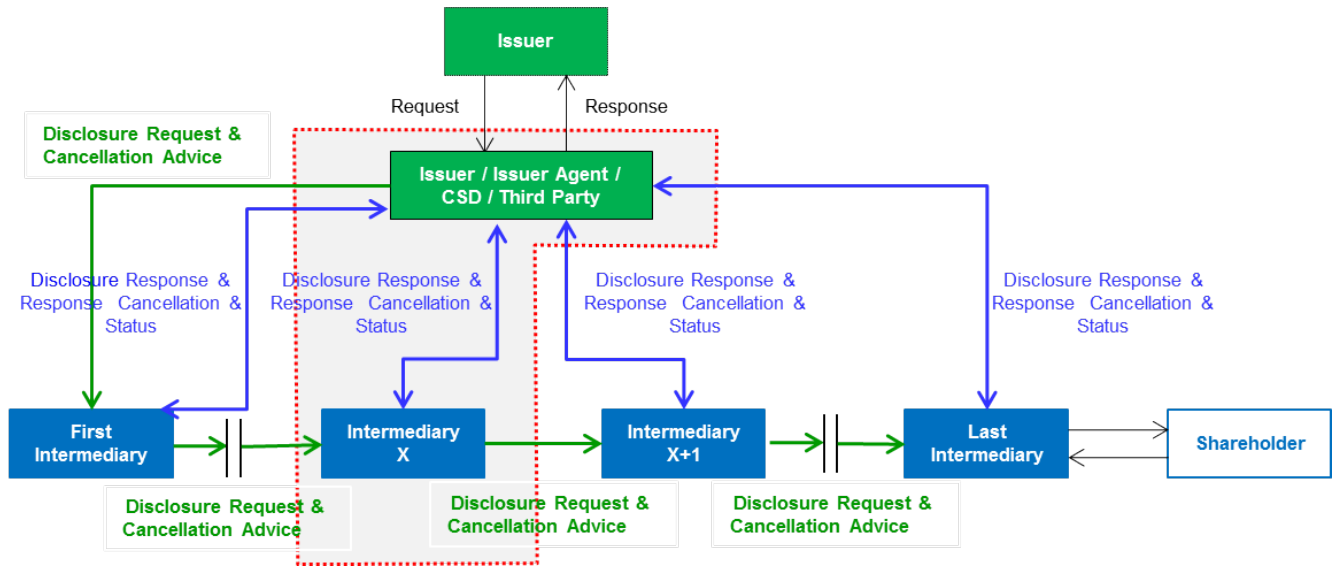
2.2 Scope

As described in the ISO 20022 Business Justification, this set of Shareholder Identification Disclosure messages covers the complete flow of information exchange between an Issuer or a third party nominated by an issuer and a chain of intermediaries (CSD, custodians, global custodians, asset managers,...) in order to report on the identity of the account holders / shareholders and on their holdings.

The Shareholder Identification Disclosure messages are used by the Issuer or a third party nominated by an issuer to notify the request for disclosure and by the intermediaries to send back the shareholders / account holders identification and account holding information.

The disclosure request issued by the Issuer must be conveyed downwards through the chain of intermediaries from the first intermediary up to the last intermediary. The disclosure request may also be sent in exceptional cases directly to a particular intermediary in the chain.

The following illustration gives a high level view of the information flows between the issuer or the third party nominated by the Issuer and the chain of intermediaries.



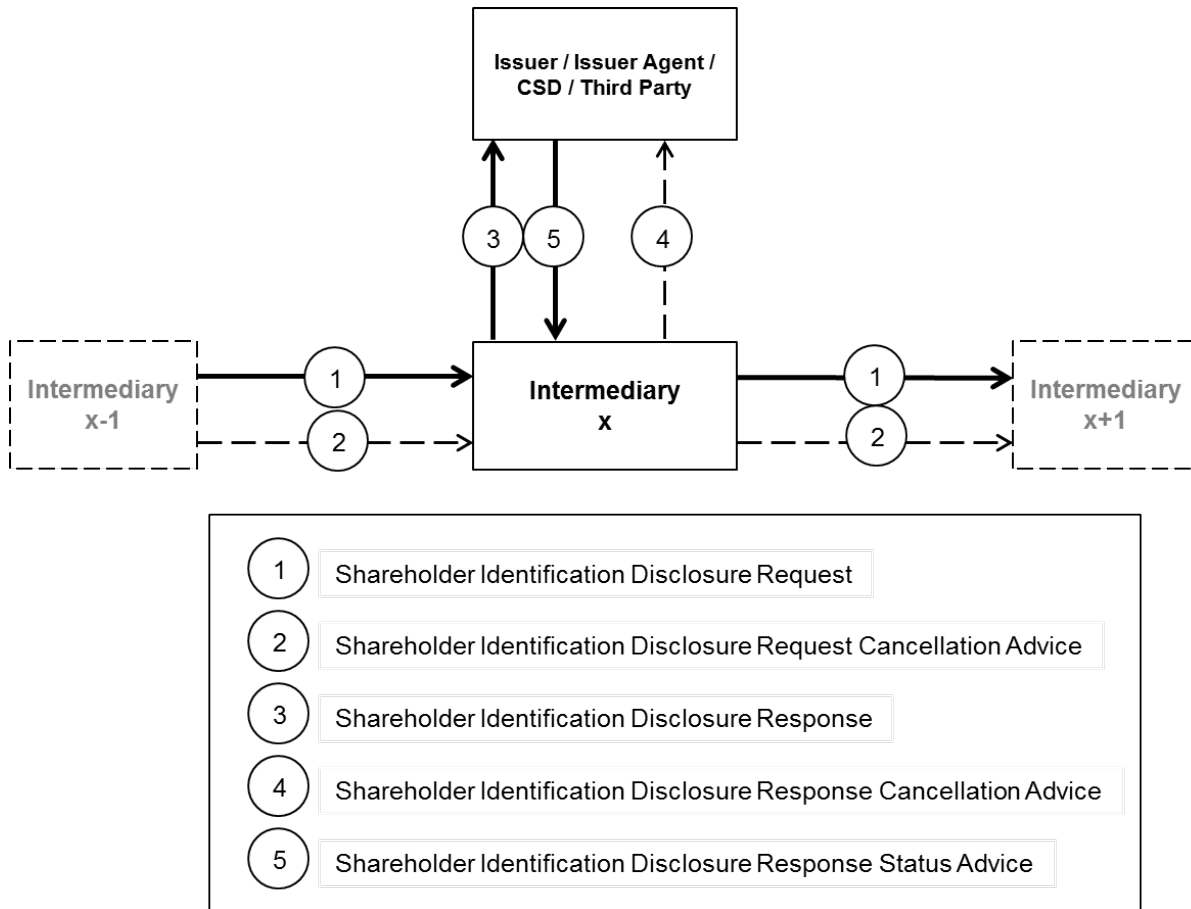
The following illustration gives a more detailed view of the messages exchanged between an intermediary and the other intermediaries in the chain and between an intermediary and the Issuer or third party nominated by the Issuer.

1. An intermediary receives a disclosure request message from other intermediaries located upstream in the chain with which the intermediary has an account and holdings in the specified financial instrument.

The intermediary then forwards without delay the request downstream to all intermediaries having an account and holdings in the specified financial instrument.

2. An intermediary may also receive a disclosure request cancellation advice message from other intermediaries located upstream in the chain with which the intermediary has an account and holdings in the specified financial instrument.

The intermediary then forwards without delay the disclosure request cancellation advice downstream to all intermediaries having an account and holdings in the specified financial instrument.



3. The intermediary then sends a disclosure response to the issuer or third party nominated by the issuer with identity information of all account holders having holdings in the specified instrument and a detailed break-down of holdings per account.

4. The intermediary may also send a disclosure response cancellation advice to the issuer or third party nominated by the issuer in order to notify that the previously sent disclosure response is invalid and must be discarded and will likely be replaced with another disclosure response.

5. The issuer or third party nominated by the issuer sends a disclosure response status advice message to notify to the intermediary that a received disclosure response is accepted or rejected.

2.3 Groups of MessageDefinitions and Functionality

Note These messages are to be used with the ISO 20022 Business Application Header (head.001). The schema and more information about the Business Application Header (BAH) can be found on the www.iso20022.org web site

2.3.1 Groups

The following tables show the message names, their mnemonic 4-characters abbreviated name and the message identifiers.

Three group of flows can be distinguished:

2.3.1.1 Identification Disclosure Request and Cancellation

MessageDefinition	Abbreviated Name	Message Identifier
ShareholderIdentificationDisclosureRequest	SIDR	seev.045
ShareholderIdentificationDisclosureRequestCancellationAdvice	SIDC	seev.046

2.3.1.2 Identification Disclosure Response, Status and Response Cancellation

MessageDefinition	Abbreviated Name	Message Identifier
ShareholderIdentificationDisclosureResponse	SIRE	seev.047
ShareholderIdentificationDisclosureResponseCancellationAdvice	SIRC	seev.048
ShareholderIdentificationDisclosureResponseStatusAdvice	SIRS	seev.049

2.3.1.3 Disclosure request Message Rejection

MessageDefinition	Abbreviated Name	Message Identifier
SecuritiesMessageRejection	-	semt.001

2.3.2 Functionality

See Message Definition Report Part 2 for the message scopes and formats.

3 BusinessRoles and Participants

A BusinessRole represents an entity (or a class of entities) of the real world, physical or legal, a person, a group of persons, a corporation. Examples of BusinessRoles: “Financial Institution”, “Automated Clearing House”, “Central Securities Depository”.

A Participant is a functional role performed by a BusinessRole in a particular BusinessProcess or BusinessTransaction. Examples of Participants: the “user” of a system, “debtor”, “creditor”, “investor”.

The relationship between BusinessRoles and Participants is many-to-many. One BusinessRole can be involved as different Participants at different moments in time or at the same time. Examples of BusinessRoles: "user", "debtor", "creditor", "investor". Different BusinessRoles can be involved as the same Participant.

In the context of Shareholder Identification Disclosure, the high-level BusinessRoles and typical Participants are defined as follows:

3.1 Participants and BusinessRoles Definitions

Participants

Description	Definition
Shareholder Identification Requesting Party	Legal entity (corporate) who wants to collect and aggregate identification information on their shareholders based on a specific record date and financial instrument.
Disclosure Response Recipient	Issuer or Legal Entity (third party) appointed by the Issuer to collect shareholder identifications responses from the intermediaries.
Intermediary	Financial institutions providing securities asset services to other institutions as account owner or account servicer.
End Investor	Natural or legal person that holds the shares for its own account and therefore ultimately enjoys the benefits of owning the shares.

Business Roles

Description	Definition
Issuer / Issuer Agent	Legal Entity that has the right to issue securities or organisation appointed by the issuer for the purposes of administration of a security issue or processing of a corporate or meeting event or a shareholder identification disclosure event. In some cases, the issuer acts as its own agent.
Third Party Agent	A party nominated by an issuer for initiating a shareholder identification disclosure process, collect and reconcile disclosure responses from received from the intermediaries for the account of the Issuer.
Global Custodian	Party that safekeeps and administers assets on behalf of the owner and that has a network of sub-custodians.
Sub-Custodian	Party that safekeeps and administers assets on behalf of the owner
CSD	An infrastructure that, holds or controls, the holding of physical or dematerialised financial instruments belonging to all, or a large portion of, the investors in a securities market. This affects the centralised transfer of ownership of such securities by entries on its books and records.

Description	Definition
ICSD	Holds or controls the holding of physical or dematerialised financial instruments belonging to all or a large portion of the investors in a securities market, and which effects the centralised transfer of such securities against payment (or free of payment) by entries on its books and records, resulting in transfer and record of ownership of the securities. A distinction can be made between a Central Securities Depository (CSD), which operates in a particular domestic market for specified financial instruments or an International Central Securities Depository (ICSD), that is, Euroclear and Clearstream, which settle Eurobond instruments and have direct or indirect links with specific CSDs owner (from Issuer (Agent)).
Institutional Investor	Organisation whose primary purpose is to invest its own assets or those held in trust by it for others. Includes investment companies, mutual funds, brokerages, insurance companies, pension funds, investment banks.
Fund Manager	Entity 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.
Broker	Party that provides services to its members for the settlement of transactions and holding of assets.
Beneficial Owner	Person(s) or entity entitled to the benefits of ownership even through another party such as a broker or bank (the nominal owner) and has actually possession and title to the security. In this context, also defined as the ultimate beneficial owner of equity or debt instruments managed by an intermediary and that has for instance voting rights in general meetings.

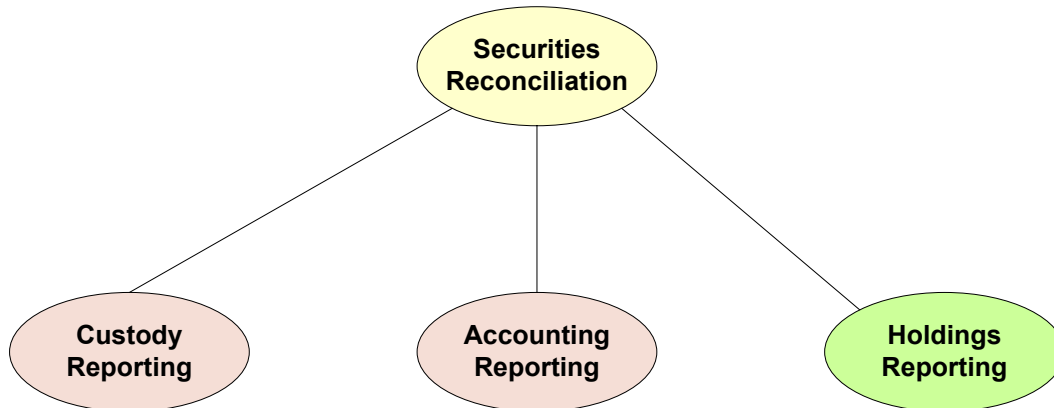
3.2 BusinessRoles and Participants Table

Business Roles	Disclosure Request Initiator	Intermediary (Account Servicer / Owner)	Disclosure Response Recipient	End Investor
Global Custodian		X		
Sub-Custodian		X		
ICSD		X	X	
CSD		X	X	
Institutional Investor		X		
Fund Manager		X		
Broker		X		
Issuer / Agent	X		X	
Third Party Agent	X		X	
Beneficial Owner				X

4 BusinessProcess Description

The business process concerned by this new message set is a subset of the Holdings Reporting process in the Securities Reconciliation domain. We will refer to that process as the Shareholder Identification Disclosure process in the rest of this document.

This diagram represents the high level BusinessProcesses.







Shareholders Identification Disclosure Process

Item	Description
Definition	Shareholders Identification Disclosure: provides transparency and the breakdown structure of the underlying shareholdings (shares and bonds) for a financial instrument held on the accounts of each intermediary in a chain of intermediaries and based on a specific record date chosen by the issuer.
Trigger:	<ul style="list-style-type: none"> On explicit request by an issuer.
Pre-conditions	Intermediaries manage securities accounts with holdings in the specified instrument for their own account or for other account owners, rights holders or beneficial owners.
Post-conditions	Shareholders identification disclosure reporting completed
Participants	Disclosure request initiator, Intermediaries, Disclosure response recipient.

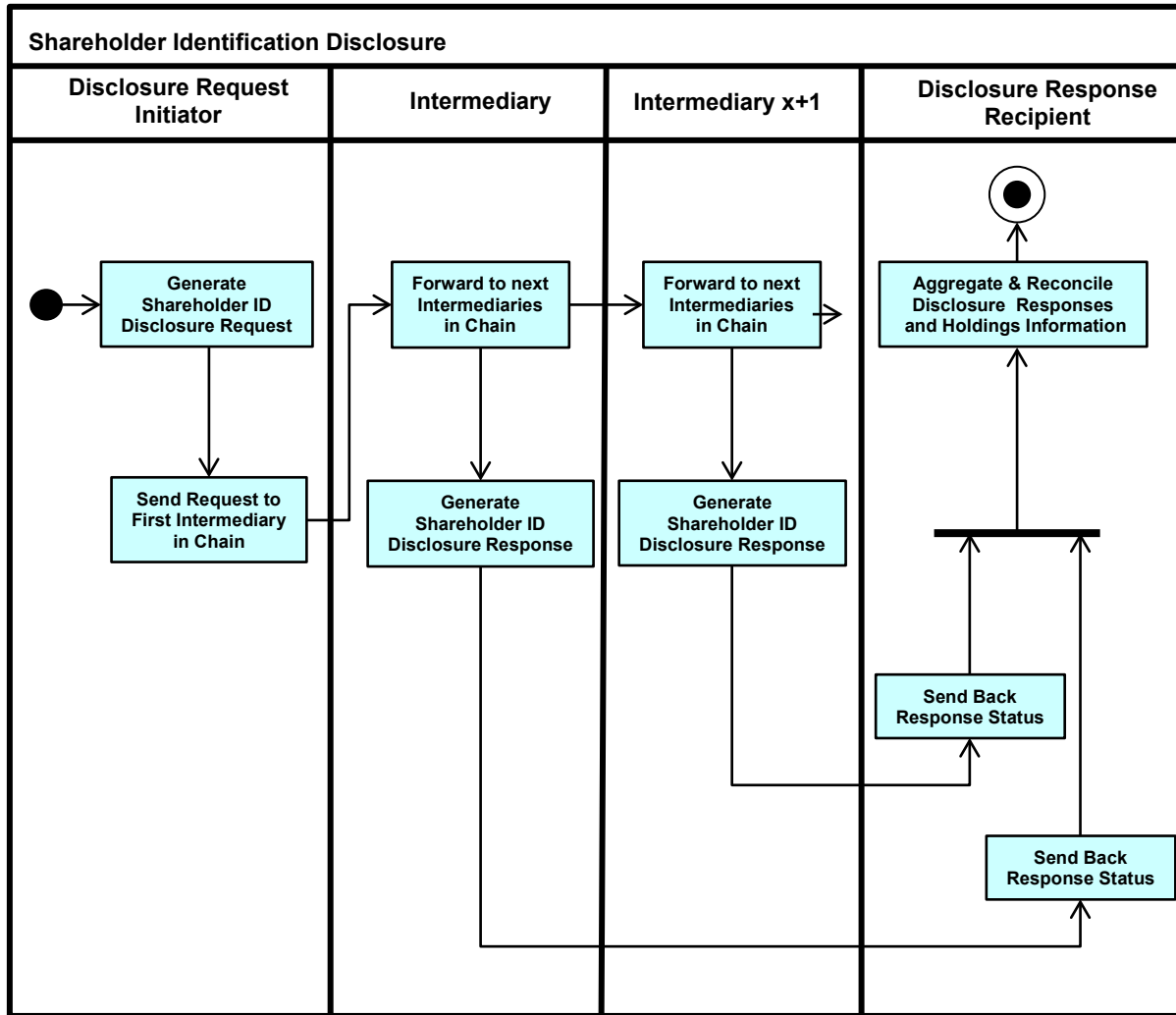
5 Description of BusinessActivities

This section presents the different BusinessActivities within each BusinessProcess. The BusinessActivities of a process are described with activity diagrams.

Legend

Symbol	Name	Definition
	Start Point	Shows where the lifecycle of the business process commences.
	End Point	Shows where the lifecycle of the business process may ends.
	Lozenge (or diamond)	Indicates that a choice between several actions can be made.
	Bar	Indicates that several actions are initiated in parallel.

5.1 Shareholders Identification Disclosure



6 BusinessTransactions

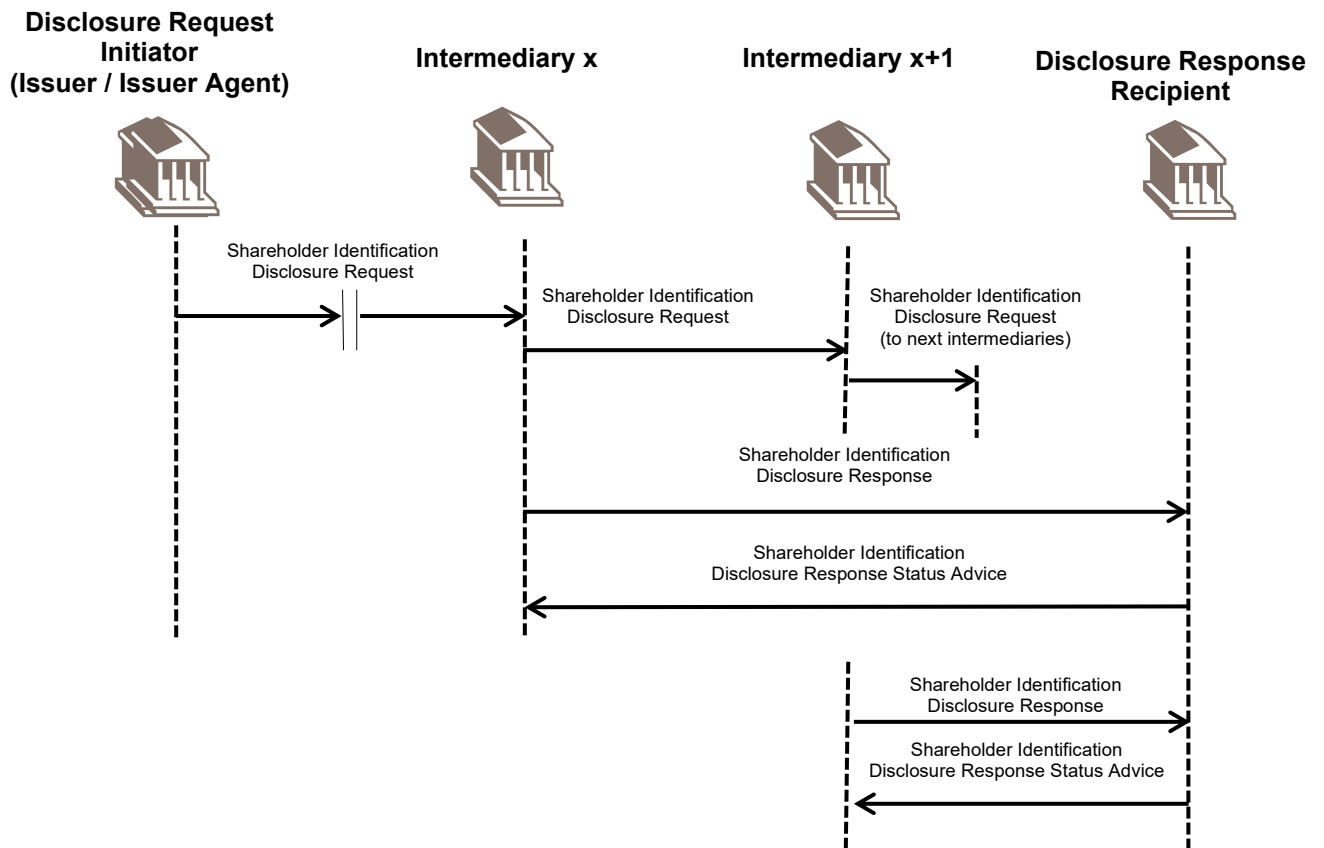
This section describes the message flows based on the activity diagrams documented above. It illustrates the flows of the shareholder identification disclosure messages in typical message sequencing scenarios. These messages are exchanged between an issuer or its agent or a third party nominated by an issuer or its agent and one or more intermediaries and the recipient of the shareholder identification disclosure responses sent by all intermediaries.

6.1 Disclosure Request Scenario

The issuer or its agent or the third party nominated by the issuer sends a ShareholderIdentificationDisclosureRequest message to the first intermediary or to any of the intermediaries in a custody chain. If specified in the request, the intermediary should forward without delay the message to the next intermediaries in the chain having an account with the forwarding intermediary for the concerned financial instrument.

Once the request has been received, the intermediaries should send to the disclosure response recipient designated by the issuer or its agent, a ShareholderIdentificationDisclosureResponse message containing the detailed information about the identification of the account owners whether rights holders or beneficial owners and about the quantity of the holdings being owned for the specified financial instrument.

Once the response has been received by the disclosure response recipient, the disclosure response recipient should send back to the sender a ShareholderIdentificationDisclosureResponseStatusAdvice to indicate that the response is received or rejected.



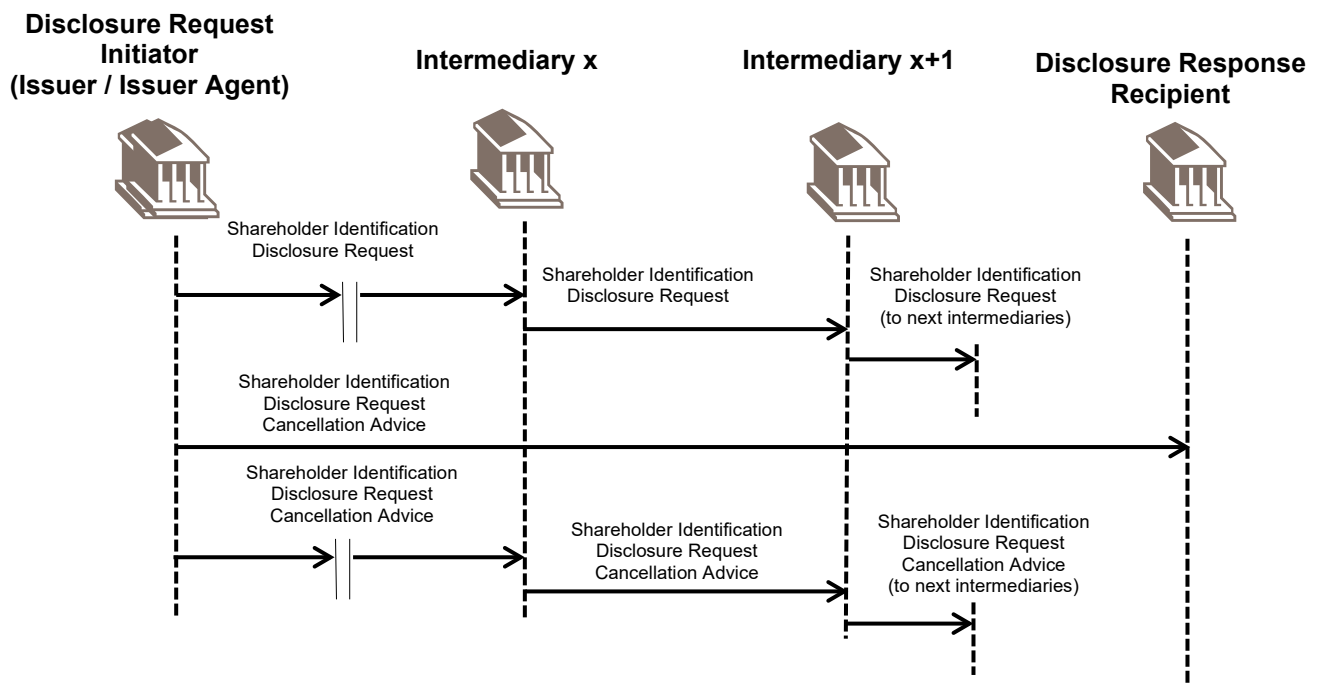
6.2 Disclosure Cancellation Scenario

If after an issuer or its agent or a third party nominated by the issuer has sent a ShareholderIdentificationDisclosureRequest message to the first intermediary or to any of the intermediaries in a custody chain, the request must be cancelled, the issuer or its agent or a third party nominated by the issuer may send a ShareholderIdentificationDisclosureRequestCancellationAdvice to inform the intermediary about the cancellation of the request.

The issuer or its agent or a third party nominated by the issuer may also send the cancellation advice message directly to the disclosure response recipient to inform him too that the request is no longer valid.

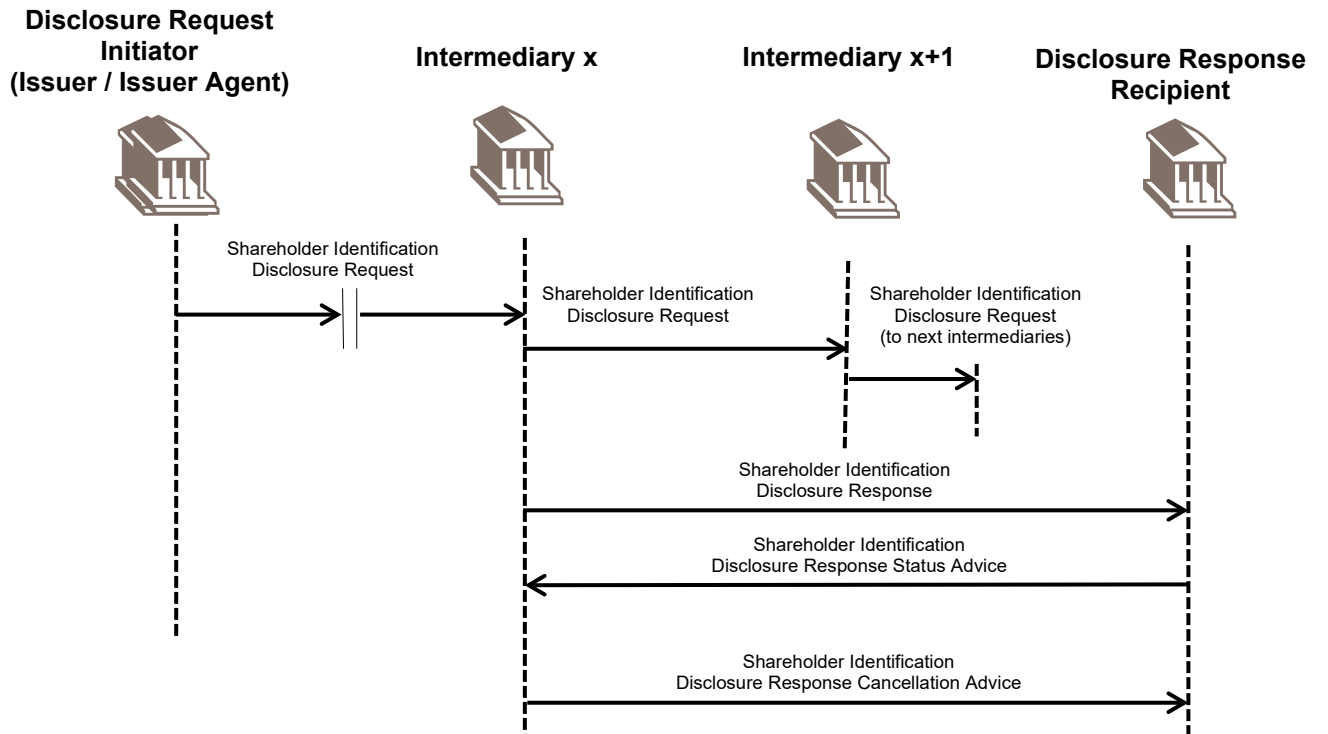
If the disclosure request had been forwarded to the next intermediaries in the chain having an account with the forwarding intermediary for the concerned financial instrument, the intermediary should also forward without delay the ShareholderIdentificationDisclosureRequestCancellationAdvice message to those intermediaries.

If the shareholder identification disclosure request is cancelled by the Issuer or its agent, the cancellation reason "withdrawal" should be provided in the message. An intermediary may also cancel a shareholder identification disclosure request with the cancellation reason "processing" in case the request was wrongly sent to this intermediary.



6.3 Disclosure Response Cancellation Scenario

Any intermediary in the custody chain having sent previously a ShareholderIdentificationDisclosureResponse message to the disclosure response recipient designated by the Issuer or its agent or a third party nominate by the issuer, may cancel its disclosure response message by sending a ShareholderIdentificationDisclosureResponseCancellationAdvice.



7 Business Examples

This section describes business examples of the use of the MessageDefinitions.

7.1 ShareholderIdentificationDisclosureRequest - seev.045.001.04

Example 1: Scenario Description

On 15th of October 2019 at 9:30 AM, an issuer agent (ISUABEBBXXX) sends to a first intermediary (INTAFRPP666) a new request to disclosure shareholders identification and holdings for the shares of the company having the ISIN reference BE7876543087.

The shareholding information must be communicated for the record date which is set on 30th of October 2019.

The request must be forwarded though the chain of intermediaries whilst the responses from intermediaries must be sent directly to the response recipient indicated by the Issuer i.e. Discloser Recipient Inc. at one of the 4 indicated addresses.

The response deadline set by the issuer to send the responses to the disclosure recipient is on the 7th of November 2019.

Message Instance (with application header)

```
<AppHdr xmlns="urn:iso:std:iso:20022:tech:xsd:head.001.001.02"
xmlns:n1="http://www.w3.org/2000/09/xmlnsig#">
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    <FIId>
      <FinInstnId>
        <BICFI>ISUABEBBXXX</BICFI>
      </FinInstnId>
    </FIId>
  </Fr>
  <To>
    <FIId>
      <FinInstnId>
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      </FinInstnId>
    </FIId>
  </To>
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xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
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          <TwnNm>Antwerp</TwnNm>
          <Ctry>BE</Ctry>
        </PstlAdr>
        <EmailAdr>HoldingRegistration@disclosurerecipient.com</EmailAdr>
        <URLAdr>https://www.disclosurerecipient.com/Holding_Registration</URLAdr>
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  </Dt>
</IssrDsclsrDdln>
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  </NmAndAdr>
</Issr>
</ShrhldrsIdDsclsrReq>
</Document>
```

7.2 ShareholderIdentificationDisclosureRequestCancellationAdvice - seev.046.001.01

Example 1: Scenario Description

On 17th of October 2019 at 9:00 AM, the issuer agent (ISUABEBBXXX) sends to the first intermediary (INTAFRPP666) a cancellation advice message in order to withdraw the shareholders identification disclosure request that was sent 2 days earlier since the general meeting that was scheduled in November has been postponed.

Message Instance (with application header)

```
<AppHdr xmlns="urn:iso:std:iso:20022:tech:xsd:head.001.001.02"
xmlns:n1="http://www.w3.org/2000/09/xmlnsig#">
```

```
  <Fr>
    <FIId>
      <FinInstnId>
        <BICFI>ISUABEBBXXX</BICFI>
      </FinInstnId>
    </FIId>
  </Fr>
  <To>
    <FIId>
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        <BICFI>INTAFRPP666</BICFI>
      </FinInstnId>
    </FIId>
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</AppHdr>
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      </FinInstrmId>
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  <NmAndAdr>
    <Nm>Electronic Industrial Inc.</Nm>
  </NmAndAdr>
</Issr>
</ShrhldrsIdDsclsrReqCxlAdv<
</Document>
```

7.3 ShareholderIdentificationDisclosureResponse - seev.047.001.02

Example 1: Scenario Description

On the 3rd of November, the intermediary (INTAFRPP666) sends the shareholder information to the disclosure response recipient (RECPBEBBZZZ) providing the identification and holdings of 4 different account holders.

Message Instance (with application header)

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    </FIld>
  </To>
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    <GvnNm>Jane</GvnNm>
    <Nm>Smith</Nm>
    <PhneNb>+32-(010)1764300</PhneNb>
    <EmailAdr>jane.smith@globalCustody.com</EmailAdr>
  </CtctPrsn>
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    </AcctSvcr>
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</BlwThrshldShrhldgQty>
<Dsclsr>
  <SfkpgAcct>A0001</SfkpgAcct>
  <AcctHdr>
    <LglPrsn>
      <NmAndAdr>
        <Nm>ABC Inc.</Nm>
        <Adr>
          <AdrTp>ADDR</AdrTp>
          <StrtNm>One Street</StrtNm>
          <BldgNb>38</BldgNb>
          <PstCd>1234</PstCd>
          <TwnNm>City</TwnNm>
          <Ctry>NL</Ctry>
        </Adr>
      </NmAndAdr>
      <EmailAdr>info@abcinc.com</EmailAdr>
      <Id>
        <NtlRegnNb>NL764098</NtlRegnNb>
      </Id>
      <CtryOfIncorprtn>NL</CtryOfIncorprtn>
      <Ownrsh>
        <OwnrshTp>
          <Cd>OWNER</Cd>
        </OwnrshTp>
      </Ownrsh>
    </LglPrsn>
  </AcctHdr>
<ShrhldgBal>
  <ShrhldgTp>NOMI</ShrhldgTp>
  <Qty>
```



```

    <Unit>200000</Unit>
  </Qty>
  <InitIDtOfShrhldg>
    <Dt>2017-08-13</Dt>
  </InitIDtOfShrhldg>
</ShrhldgBal>
</Dsclsr>
<Dsclsr>
  <SfkpgAcct>A0002</SfkpgAcct>
  <AcctHldr>
    <LglPrsn>
      <NmAndAdr>
        <Nm>Brokerage Inc.</Nm>
      </NmAndAdr>
      <EmailAdr>info@Brokerage.com</EmailAdr>
      <Id>
        <NtlRegnNb>LU847801</NtlRegnNb>
      </Id>
      <CtryOfIncorprtn>LU</CtryOfIncorprtn>
      <Ownrsh>
        <OwnrshTp>
          <Cd>OWNER</Cd>
        </OwnrshTp>
      </Ownrsh>
    </LglPrsn>
  </AcctHldr>
  <ShrhldgBal>
    <ShrhldgTp>NOMI</ShrhldgTp>
    <Qty>
      <Unit>100000</Unit>
    </Qty>
    <InitIDtOfShrhldg>
      <Dt>2015-02-09</Dt>
    </InitIDtOfShrhldg>
  </ShrhldgBal>
</Dsclsr>
<Dsclsr>
  <SfkpgAcct>A0003</SfkpgAcct>

```

```

<AcctHldr>
  <LglPrsn>
    <NmAndAdr>
      <Nm>LocalCustody Inc.</Nm>
    </NmAndAdr>
    <EmailAdr>info@LocalCustody.com</EmailAdr>
    <Id>
      <NtlRegnNb>BE85432</NtlRegnNb>
    </Id>
    <CtryOfIncorprtn>BE</CtryOfIncorprtn>
    <Ownrsh>
      <OwnrshTp>
        <Cd>OWNER</Cd>
      </OwnrshTp>
    </Ownrsh>
  </LglPrsn>
</AcctHldr>
<ShrhldgBal>
  <ShrhldgTp>OOAC</ShrhldgTp>
  <Qty>
    <Unit>1000321</Unit>
  </Qty>
  <InitlDtOfShrhldg>
    <Dt>2013-01-29</Dt>
  </InitlDtOfShrhldg>
</ShrhldgBal>
</Dsclsr>
<Dsclsr>
  <SfkpgAcct>A0004</SfkpgAcct>
  <AcctHldr>
    <NtrlPrsn>
      <NmAndAdr>
        <NmPrfx>MADM</NmPrfx>
        <FrstNm>Bea</FrstNm>
        <Srnrm>Winner</Srnrm>
      </NmAndAdr>
      <Id>
        <Id>594-7653297-18</Id>
      </Id>
    </NtrlPrsn>
  </AcctHldr>
</Dsclsr>

```

```
        <IdTp>
          <Cd>IDCD</Cd>
        </IdTp>
      </Id>
      <Ntlty>NZ</Ntlty>
      <DtAndPlcOfBirth>
        <BirthDt>1961-05-09</BirthDt>
        <CityOfBirth>Christchurch</CityOfBirth>
        <CtryOfBirth>NZ</CtryOfBirth>
      </DtAndPlcOfBirth>
      <InvstrTp>
        <Cd>RETL</Cd>
      </InvstrTp>
      <Ownrsh>
        <OwnrshTp>
          <Cd>USUF</Cd>
        </OwnrshTp>
        <UsfrctPctg>100</UsfrctPctg>
      </Ownrsh>
    </NtrlPrsn>
  </AcctHldr>
  <ShrhldgBal>
    <ShrhldgTp>OOAC</ShrhldgTp>
    <Qty>
      <Unit>50210</Unit>
    </Qty>
    <InitDtOfShrhldg>
      <Dt>2010-11-09</Dt>
    </InitDtOfShrhldg>
  </ShrhldgBal>
  <ShrhldgBal>
    <ShrhldgTp>OOAC</ShrhldgTp>
    <Qty>
      <Unit>50000</Unit>
    </Qty>
    <InitDtOfShrhldg>
      <Dt>2011-12-03</Dt>
    </InitDtOfShrhldg>
```

```
</ShrhldgBal>  
</Dsclsr>  
</AcctSubLvl>  
</SfkpgAcctAndHldgs>  
</DsclsrInf>  
</ShrhldrsldDsclsrRspn>
```

7.4 ShareholderIdentificationDisclosureResponseCancellationAdvice - seev.048.001.01

Example 1: Scenario Description

On the 4th of November, the intermediary (INTAFRPP666) realises that some of the information provided to the disclosure response recipient on the 3rd of November were not fully correct and therefore sends a shareholder identification disclosure response cancellation advice message to the disclosure response recipient (RECPBEBBZZZ) so as inform the disclosure response recipient that the information must be disregarded.

Message Instance (with application header)

```
<AppHdr xmlns="urn:iso:std:iso:20022:tech:xsd:head.001.001.02"
xmlns:n1="http://www.w3.org/2000/09/xmlsig#">
  <Fr>
    <FIId>
      <FinInstnId>
        <BICFI>INTAFRPP666</BICFI>
      </FinInstnId>
    </FIId>
  </Fr>
  <To>
    <FIId>
      <FinInstnId>
        <BICFI>RECPBEBBZZZ</BICFI>
      </FinInstnId>
    </FIId>
  </To>
  <BizMsgIdr>INTAFR000000001</BizMsgIdr>
  <MsgDefIdr>seev.048.001.01</MsgDefIdr>
  <CreDt>2019-11-04T09:30:00Z</CreDt>
</AppHdr>
<Document xmlns="urn:iso:std:iso:20022:tech:xsd:seev.048.001.01"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
  <ShrhldrIdDsclsrRspnCxlAdv<
    <DsclsrRspnId>DISCLRESP0006</DsclsrRspnId>
    <IssrDsclsrReqRef>
      <IssrDsclsrReqId>ISUA-DISCL-2019-0001</IssrDsclsrReqId>
    <FinInstrmId>
      <ISIN>BE7876543087</ISIN>
```

```
</FinInstrmId>
<ShrhldrsDsclsrRcrdDt>
  <Dt>
    <Dt>2019-10-30</Dt>
  </Dt>
</ShrhldrsDsclsrRcrdDt>
</IssrDsclsrReqRef>
<RspndgIntrmy>
  <Nm>LocalCustody Inc.</Nm>
  <Id>
    <LEI>LOALCUST8H675398AM77</LEI>
  </Id>
</RspndgIntrmy>
</ShrhldrIdDsclsrRspnCxlAdv>
</Document>
```

7.5 ShareholderIdentificationDisclosureResponseStat usAdvice - seev.049.001.01

Example 1: Scenario Description

On the 3rd of November, the disclosure response recipient (RECPBEBBZZZ) having receive the shareholder identification disclosure response message from the intermediary (INTAFRPP666), the disclosure recipient sends a disclosure response status advice to the intermediary to advise that the response message has been accepted.

Message Instance (with application header)

```
<AppHdr xmlns="urn:iso:std:iso:20022:tech:xsd:head.001.001.02"
xmlns:n1="http://www.w3.org/2000/09/xmlnsig#">
```

```
  <Fr>
    <FIId>
      <FinInstnId>
        <BICFI>RECPBEBBZZZ </BICFI>
      </FinInstnId>
    </FIId>
  </Fr>
  <To>
    <FIId>
      <FinInstnId>
        <BICFI> INTAFRPP666 </BICFI>
      </FinInstnId>
    </FIId>
  </To>
  <BizMsgIdr>RECPBE000000001</BizMsgIdr>
  <MsgDefIdr>seev.049.001.01</MsgDefIdr>
  <CreDt>2019-11-03T017:00:00Z</CreDt>
```

```
</AppHdr>
```

```
<Document xmlns="urn:iso:std:iso:20022:tech:xsd:seev.049.001.01"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
```

```
  <ShrhldrIdDsclsrRspnStsAdv>
    <DsclsrRspnId>a</DsclsrRspnId>
    <IssrDsclsrReqRef>
      <IssrDsclsrReqId>ISUA-DISCL-2019-0001</IssrDsclsrReqId>
      <FinInstrmId>
        <ISIN>BE7876543087</ISIN>
      </FinInstrmId>
```

```
<ShrhldrsDsclsrRcrdDt>
  <Dt>
    <Dt>2019-10-30</Dt>
  </Dt>
</ShrhldrsDsclsrRcrdDt>
</IssrDsclsrReqRef>
<RspndgIntrmy>
  <Nm>LocalCustody Inc.</Nm>
  <Id>
    <LEI>LOALCUST8H675398AM77</LEI>
  </Id>
</RspndgIntrmy>
<RspnRcptnSts>
  <Accptd>
    <NoSpdfdRsn>NORE</NoSpdfdRsn>
  </Accptd>
</RspnRcptnSts>
</ShrhldrIdDsclsrRspnStsAdv<
</Document>
```


7.6 SecuritiesMessageRejection - semt.001.001.04

Example 1: Scenario Description

On 15th of October 2019 at 9:30 AM, an issuer agent (ISUABEBBXXX) sends to a first intermediary (INTAFRPP666) a new request to disclosure shareholders identification and holdings for the shares of the company having the ISIN reference BE7876543087.

However, since the request is not fully compliant with the shareholder rights directive II implementation regulation, the request is rejected by the first intermediary at 10:30 AM on the same day.

Message Instance (with application header)

```
<AppHdr xmlns="urn:iso:std:iso:20022:tech:xsd:head.001.001.02"
xmlns:n1="http://www.w3.org/2000/09/xmlsig#">
  <Fr>
    <FIId>
      <FinInstnId>
        <BICFI> INTAFRPP666</BICFI>
      </FinInstnId>
    </FIId>
  </Fr>
  <To>
    <FIId>
      <FinInstnId>
        <BICFI> ISUABEBBXXX </BICFI>
      </FinInstnId>
    </FIId>
  </To>
  <BizMsgIdr>INTABE000000001</BizMsgIdr>
  <MsgDefIdr>semt.001.001.04</MsgDefIdr>
  <CreDt>2019-10-15T10:30:00Z</CreDt>
</AppHdr>
<Document xmlns:n1="urn:swift:xsd:DRAFT1semt.001.001.04"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
  <SctiesMsgRjctn>
    <RltdRef>
      <Ref>ISUABE000000001</Ref>
      <RefIssr>
        <AnyBIC>ISUABEBBXXX</AnyBIC>
      </RefIssr>
      <MsgNm> ShrhldrsIdDsclsrReq</MsgNm>
      <MsgNb>
```

```
<LngNb>seev.045.001.04</LngNb>
  </MsgNb>
</RltdRef>
<Rsn>
  <Rsn>NALO</Rsn>
  <AddtlInf>Disclosure request not compliant with Shareholders Rights Directive II and
related implementation regulation</AddtlInf>
  </Rsn>
</SctiesMsgRjctn>
</Document>
```

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